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TITLE XII MEMORANDA OF
UNDERSTANDING

Bureau for Science and Technology
Agency for International Development

June 28, 1985
(AID/S&T/RUR)

TITLE XII MEMORANDA OF
UNDERSTANDING

In this paper two aspects of the Memoranda of Understanding are discussed, namely, the procedure followed to select universities for joint MCU's and proposed changes in the content of MOU's and their accompanying program support grants.

Selection Process for Joint MOU's:

The procedure followed in negotiating the existing Joint MOU's with Tuskegee/Oregon State University and North Carolina State A&T University/Michigan State University is similar to that documented below for the other ten currently being considered.

- (1) Two objectives are identified for the Joint MOU's:
 - (a) A broad, long range partnership. The universities have human resources of substantial importance to A.I.D.'s Title XII program.
 - (b) Compliance with Affirmative Action mandates. The Agency is seeking to increase business with minority institutions in response to the Gray Amendment to the

Fiscal Year 1984 and Fiscal Year 1985 Continuing Resolutions and in response to White House Executive Order 12320 (White House HBCU Initiative).

(2) Identification of universities qualified for Joint MOU's:

- (a) All 1890 universities that had Strengthening Grant Programs that were rated as satisfactory or as conditionally satisfactory by the BIFAD peer review process.
- (b) Other 1890 universities with significant institutional capability to undertake Title XII projects.
- (c) All 1862 universities that had Strengthening Grant Programs that were rated "actionable" by the BIFAD peer review process; that have demonstrated a commitment to A.I.D. work by providing their own faculty/staff for overseas technical assistance assignments; and that have special areas of expertise needed by A.I.D. for its Title XII programs.

(3) A basic assumption undergirding the the process was that universities would select each other as partners within these general guidelines. This approach has been pursued.

(4) Procedures followed in pairing universities:

(a) 1862 universities with an average FTE commitment of 5/year during the preceeding three years* were identified;

(b) The list of qualified universities was informally shared with the 1890 universities;

(c) The 1890 universities and their potential partners were encouraged to seek partnerships that represented:

(i) Substantial previous collaboration between universities; and/or

(ii) Common areas of international expertise

in order to facilitate meaningful relationships under the Joint MOU;

(d) Universities sent letters expressing interest in exploring a Joint MOU to AID/S&T/RUR;

(e) RUR provided guidelines for preparing applications;

(f) RUR and pairs of universities negotiated the JMOU and

* Eight (8) FTE's/year for existing MOU's.

the accompanying Program Support Grants and Annual Work Plans.

Proposed Changes in MOU's and Accompanying PSG's:

These materials build on a set of draft guidelines prepared by the BIFAD and Agency Staff during 1984 that were considered by the Board at its September, 1984 meeting. Since that time, guidelines for this program have been the topic of considerable discussion within the Title XII community and within A.I.D. A group consisting of AID/S&T and BIFAD/Staff has met regularly for the last five months to discuss the character and content of this program. This group has proposed certain changes in MOU's and PSG's that are presented below. These changes have been discussed with A.I.D. regional bureau representatives and, on an informal basis, with the BIFAD before its June, 1985 meeting.

Background

The terms and conditions listed in this section imply a change from MOU's already negotiated with the five Universities with single institution MOU's and the four Universities with joint MOU's. They represent our assessment of how MOU's and Program Support Grants called for by the MOU's should be structured.

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These changes are necessary for the following reasons:

- (1) There is a need to recognize explicitly the institutional commitment of a university as reflected by the provision of its regular employees for overseas technical assistance. The timely provision of quality technical assistance is the underlying justification for the program. The level of institutional commitment is one factor that should be common to both MOU's involving only one institution and those involving two institutions. This is an area that experience shows needs strengthening.

- (2) A course of action needs to be established in the event that universities do not meet the terms of the MOU agreement. The MOU's already in place provide for actions to alleviate problems at the universities caused by A.I.D.'s inability to keep the stipulated number of university employees engaged overseas. However, they do not provide for remedial action should the universities not have a minimum average of five employees engaged overseas on A.I.D.'s projects during any consecutive three year period.

- (3) There is a need to provide additional funds, which are designated to carry out joint activities between itself

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and its partner institution, to each University entering into a joint MOU . This will increase the probability of the joint MOU's leading to substantially increased HBCU involvement, thereby helping the Agency meet the terms of the Gray Amendment and Executive Order 12320.

- (4) There is a need to address recommendations made in the IG Report of the program audit of the university Strengthening Grant Program. These recommendations were made in terms of all support grants to universities. The IG Report emphasized the need to assure that expenditures of support grant funds are related to A.I.D.'s contracts with Title XII universities, and that this relationship be demonstrated in annual reports and other documentation pertinent to the program.

Differences between Previous and Future MOU's

All future MOU's and PSG's will be consistent with those previously negotiated, except for the changes indicated. It is anticipated that those already negotiated will be modified to conform to these proposed changes.

- (1) Manpower commitments will be changed from long-term overseas commitments to a combination of long-term and short-term overseas A.I.D.-funded technical assistance assignments by the university's own regular employees, represented by FTE's. The universities will report their provision of FTE's to A.I.D. in conformance with guidelines provided to them by A.I.D. (see attached guidelines).

- (2) A provision will be made to terminate MOU's should the participating university or pair of universities fail to provide a minimum of five FTE's of technical assistance during the past three continuous years.

- (3) The maximum carry over level of funding will be reduced from (1) 100% of the average annual volume of business during the preceeding three years, to be accumulated during a maximum of three years, to (2) a maximum of 100% of the average annual volume of business over the preceeding three years, not to exceed 50% in any one year. Universities will be encouraged, but not required, to match funds carried over during the year in which they were received. Universities will be required to match previously unmatched funds carried over during the year in which they are expended, if they are not expended for salary support of faculty to

whom the Agency made a commitment of continuous employment under A.I.D. contract.

Differences between Previous and Future PSG's

- (1) Universities will be required to show in their annual reports how at least 50% of the activities funded under the Program Support Grant are demonstrably related to ongoing and/or immediately foreseeable contract activities with A.I.D. They will also be required to show in their annual work plans and annual reports how other expenditures are related to A.I.D.'s program. Several examples of how PSG funds can be used to support overseas A.I.D.-contract activity are: (a) financing graduate student research which is carried out overseas in connection with a university contract; and (b) providing language training and overseas orientation to potential consultants to ongoing A.I.D. contracts.

- (2) The Program Support Grant to universities participating in joint MOU's will consist of two allocations, namely, a base amount and an amount to facilitate joint interaction. Funding for single institution PSG's will consist only of the base amount. The size of the base allocation for the 1862 Land Grant University will be

determined by the average number of FTE's provided by them of their own regular employees for A.I.D.-funded overseas technical assistance and their average volume of business with A.I.D. (overseas and on campus) during the preceeding three years. They will receive \$15,000/FTE (Attached is a copy of the documentation which we are using to determine FTE's provided) plus 2% of their average annual volume of business with A.I.D. during the preceeding three years. The size of the base allocation for the 1890 participant in a joint MOU will be determined in the same manner; however, it will receive a minimum grant of \$100,000/year regardless of the number of FTE's it provides.

Both the 1862 and the 1890 partner in the joint MOU's shall also receive linkage funds to facilitate joint interaction. These funds will be equal to 20% of the amount received for average FTE's/year provided and for average annual volume of business, with the minimum being \$30,000/year and the maximum being \$50,000/year. The maximum annual grant for a single institution MOU shall be \$300,000 and for a Joint MOU shall be \$350,000. Linkage funds, and their appropriate match by the universities, will be earmarked for joint activities between the universities, which are to be

specified in their annual work plans. Universities are also encouraged to use other PSG funds to promote joint activities.

University Participation in Formulating Changes:

These provisions, except for the linkage allocation for joint activities, have been discussed with the universities that have single institution MOU's at their annual reviews. They will also be discussed with the two pairs of universities that already have joint MOU's. A meeting with universities with single institution MOU's is scheduled for August 13, 1985 to discuss possible modifications of their MOU/PSG's. This meeting is designed to bring their MOU's and PSG's, as well as those of institutions with joint MOU's, into line with these terms and conditions. We expect this to occur during a two-year transition period.

Additional Single Institution MOU's:

We do not anticipate additional single institution MOU's at the present time. After the 12 Joint MOU's have been signed, we will re-examine this question.

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SUMMARY FOR MEMORANDA OF UNDERSTANDING

SUBJECT MATTER AND GEOGRAPHIC AREAS

<u>Subject Matter Areas Specified</u>	<u>Number of MOUs Specifying</u>
(1) Plant Science	<u>19</u>
(a) Plant Genetics	1
(b) Crop Production	13
(c) Agricultural Research Management	2
(d) Plant Protection	3
(2) Other Agriculture	<u>18</u>
(a) Farming Systems	13
(b) Tropical Soils	2
(c) Biotechnology	1
(d) Post Harvest Loss	1
(e) Oil Seed Production	1
(3) Animal Science	<u>19</u>
(a) Livestock Production	13
(b) Animal Health	3
(c) Arid Land/Livestock	3
(4) Rural Development	<u>21</u>
(a) Rural Community Development	5
(b) Off Farm Employment	1
(c) Institution Building	9
(d) Information/Technology Transfer	5
(e) Project Management	1

SUMMARY OF MEMORANDA OF UNDERSTANDING COMMITMENTS BY U.S. UNIVERSITIES

<u>University</u>	<u>Geographic Areas</u>	<u>Subject Matter Areas</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>1989</u>	<u>1990</u>
Auburn/Arkansas-Pine Bluff	Africa, Latin America/Caribbean, Asia	Fisheries Management; International Information and Research Networks; Farming Systems; Aquaculture				10	10	10	10	10
Colorado State	No Focus	Water Resource Development; Institution Building; Rainfed/Dryland Agriculture; Policy, Pricing and Marketing	15	16	16	16	16	16	16	16
Florida	No Focus	Farming Systems; Humid Tropical Food Crops and Livestock Production; Tropical Plant Protection; Institution Building Low Fossil Fuel Energy Systems	14	14	14	14	14	14	14	14
Illinois/Maryland-Eastern Shore	Africa; Latin America/Caribbean	Crop Production; Legumes and Edible Oil Seeds; Farming Systems; Agricultural Technology Transfer; Agricultural Policy Analysis; Renewable Resources Management/Utilization				10	10	10	10	10
Kansas State/Alabama A&M	Africa; Asia	Farming Systems; Post Harvest Cereal Technology; Food Science; Institution Building; Small Animal Production; Crop Production; Rural Development				7	7	7	7	7
Louisiana State/Southern	Africa; Latin America/Caribbean	Farming Systems; Rural Development; Women in Agriculture; Food and Cereal Crop Technologies; Agricultural Research Management; Forestry; Crop Production; Small Animal Production				7	7	7	7	7
Michigan State/North Carolina A&T State	Africa, Asia, Latin America/Caribbean	Farming Systems; Agricultural Economics; Institution Building; Natural Resources including Agroforestry; Off farm Employment; Human Nutrition; Agriculture Research Management; Agricultural Engineering, including Appropriate Technology and Energy		10	10	10	10	10	10	10

<u>University</u>	<u>Geographic Areas</u>	<u>Subject Matter Areas</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>1989</u>	<u>1990</u>
Minnesota/Lincoln	Africa, Latin America/Caribbean	Environmental Management in Less Favored Natural Resource Areas; Food and Agricultural Policy; Human Nutrition; Crop Production; Livestock Production; Small Family Farm Programs				10	10	10	10	10
New Mexico State/ Tennessee State	Africa, Latin America/Caribbean, Near East	Farming Systems; Crop Production; Livestock Production; Rural Development; Institution Building; Arid Land Range Management				8	8	8	8	8
North Carolina State/Florida A&M	Africa, Asia, Latin America/Caribbean	Soil Management; Agriculture Policy; Institution Building; Integrated Crop Protection; Human Nutrition; Environmental Management; Technology Transfer; Livestock Production; Agribusiness Management				7	7	7	7	7
Ohio State/ Fort Valley State	Latin America/ Caribbean, Africa	Natural Resources Management; Animal Health; Crop Production; Agricultural Finance; Biotechnology; Small Family Farm Programs; Small Ruminants; Livestock Production; Soil Erosion; Oilseed Production; Human Nutrition; Integrated Pest Management				7	7	7	7	7
Oregon State/ Tuskegee	No Focus	Agricultural Crop and Livestock Production Systems; Small Farming Systems; Rural Community Development; Animal Health Care; Institution Building; Nutrition and Health Care Delivery Systems		10	10	10	10	10	10	10
Purdue	Africa	Plant Genetics and Production; Farming Systems; Farm Management; Production Economics; Public Policies; Tropical and Subtropical Soils; Human Nutrition/Health; Energy; Animal Production/Health	15	15	15	15	15	15	15	15

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<u>University</u>	<u>Geographic Areas</u>	<u>Subject Matter Areas</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>1989</u>	<u>1990</u>	
Texas A&M/ Prairie View A&M	Africa, Asia, Latin America/Caribbean	Crop Production; Irrigation; Agricultural Policy; Agroforestry; Range Science; Farming Systems; Agribusiness; Agricultural Technology Transfer; Animal Production				°0	°0	°0	°0	°0	
Utah State	Africa	Natural Resources Development & Management; Irrigation Engineering and Water Resources; Arid Land Agriculture and Livestock; Human Nutrition; Development Policy and Administration; Training and Institution Building	18	18	18	18	18	18	18	°8	
Washington State	Africa	Institution Building; Farming Systems; Arid Land Agriculture; Crop Production Livestock Production; Natural Resource Management; Food and Agricultural Policy		15	15	15	15	15	15	15	
Wisconsin/Virginia State	Africa, Latin America/Caribbean, Asia	Agricultural Finance; Farming Systems; Rural Development; Natural Resources; Agricultural Extension and Information Systems; Crop Production; Livestock Production; Agriculture and Rural Development Policy				10	10	10	10	10	
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TOTAL.....			62	98	98	20°	20°	20°	20°	20°	

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<u>Subject Matter Specified (Continued)</u>	<u>Number of MOUs Specifying</u>
(5) Agricultural Economics	<u>16</u>
(a) Agribusiness Management	2
(b) Farm Management	2
(c) Production Economics	1
(d) Public/Agricultural Policy	9
(e) Agricultural Finance	2
(6) Engineering	<u>6</u>
(a) Water/Irrigation	3
(b) Energy/Appropriate Technology	3
(7) Natural Resources	<u>15</u>
(a) Conservation and Management	7
(b) Environmental Management	5
(c) Agroforestry	1
(d) Range Science	1
(e) Soil Erosion	1
(8) Food Science/Nutrition	<u>7</u>
(a) Human Nutrition	6
(b) Food Science	1
(9) Aquaculture	<u>1</u>
(a) Inland Fisheries	1
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Total.....	<u>122</u>

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Annual Review and Forward Planning
Under Types I & III Memoranda of Understanding

Background:

In June, 1980, BIFAD and AID agreed upon the concept of Memoranda of Understanding (MOUs) between Title XII universities and the Agency as an evolutionary sequel to Strengthening Grants. The purposes of MOUs are to solidify, further develop, and more sharply focus a continuous partnership between a university and AID.

A Joint AID/BIFAD Task Force specified three types of MOUs:

Type I : Manpower specific, with a single university.

Type II : General, single university, no specific
manpower commitments.

Type III : Joint, manpower specific involving a large
experienced university and a smaller
institution.

AID has signed Type I MOUs with the University of Florida, Purdue University, Colorado State University, Utah State University and Washington State University. Joint MOU's have been signed by Oregon State University and Tuskegee Institute, and by Michigan State University and North Carolina A&T State University. No Type II MOUs have yet been negotiated.

MOUs state that annually, during the fourth quarter of AID's fiscal year, the parties will conduct a formal review and forward planning exercise. This exercise will be undertaken around the start of the third quarter of AID's fiscal year in order to allow the universities time to make appropriate adjustments in their forward plans and to allow AID to obligate funds prior to the beginning of the fourth quarter. Funds not obligated prior to the start of the fourth quarter may be lost to the program.

This exercise will cover all activities conducted under the MOU, including the Program Support Grant (PSG) and review of the institution's: (1) policies to encourage faculty and staff involvement in international programs, (2) responsiveness to BIFAD's data requirements for the RIR; (3) utilization of the resources available from smaller institutions, and (4) current performance under Agency projects. It will also include a review of projected activities for the next five year period. Forward planning will include identification of likely opportunities in terms of Title XII projects, programs of work of individual faculty, and research and training in order for AID and the university to achieve the levels and kinds of services which may be required. The forward planning process is not, however, intended to match universities with particular projects. The annual review and forward planning process is the major method of evaluating the extent to which AID and the universities are carrying out their responsibilities under the MOU.

Establishing a Review and Planning Mechanism:

The following guidelines for review and forward planning apply to Type I and Type III MOUs only. The exact nature of the periodic evaluation required for Type II MOUs has not yet been determined.

(1) Individual Reviews and Forward Planning

When. As was indicated on the previous page, the review and forward planning exercise will occur around the start of the third quarter of AID's fiscal year, so that agreements can be reached and funds obligated in the first quarter of the new fiscal year. However, this timing may be out of step with the university's reporting cycle to AID, with the anniversary date of the MOU, and with the university's fiscal year. Some flexibility in the timing of the exercise, is therefore recommended, particularly in the first year.

How. The review and forward planning process should be initiated and managed by AID's Office of Research and University Relations. Both review and forward planning should be addressed at the same time. The process for the review and forward planning exercise should be collegial and consultative with knowledgeable, involved and concerned persons from AID and the MOU university (universities in the case of Joint MOUs) coming together for approximately one day to share information and discuss ways they can work together to meet common objectives.

Major topics to be addressed include:

- (1) Accomplishments and performance during the past year, including the degree to which both AID and the university have fulfilled their respective responsibilities under the MOU/PSG.
- (2) Resolution of problems or issues which surfaced in the preceding year.
- (3) Changes which might need to be made in specified levels and types of core staff.
- (4) Modifications which might be required in the specified subject matter or geographic emphasis, based on new trends and issues identified by AID and the universities as important to AID's work in developing countries.
- (5) General AID needs for university services in Title XII areas.
- (6) Activities under the PSG and their impact on AID project activities.
- (7) Expenditures of AID and non-federal funds under the PSG.

(8) Possible modifications to the PSG program description.

The review should be primarily based on the annual report(s) of MOU/PSG activities submitted by the university, other supplemental material and data on specific projects that are relevant and appropriate, and data from AID on performance on AID-funded projects. Relevant documentation for forward planning would be selected from: (1) designated sections of the university's annual report, (2) pertinent AID regional policy strategy papers and Annual Budget Submissions, and (3) the CDSS's for countries having, or anticipating, projects in areas of interest to the university. These various materials should be distributed to all involved persons prior to the joint review and planning meeting. An announcement would appear in the BIFAD Briefs that this information is also available to others who request it.

The annual review exercise should be primarily concerned with an examination of the nature and quality of university's performance under AID-funded contracts, grants and cooperative agreements involving the resources and capabilities described in the MOU. The PSG would then be examined to see the extent to which its activities supported the AID projects being undertaken or planned. This would reveal the transition from the more broadly-targeted Strengthening Program to the more focused PSG.

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Particular attention should be paid to the university's generation of knowledge and skills (R&D) essential to improving university effectiveness in implementing Agency projects.

Who. University participants in the review and forward planning exercise might include the Title XII officer, the campus administrator of MOU/PSG activities, campus managers of specific AID projects and key deans and faculty members involved in MOU/PSG work. AID should be represented by senior staff and project officers from the relevant regional bureau(s), and S&T, appropriate staff from the Office of Research and University Relations and from the Contracts Office. If financially feasible, appropriate person(s) should also attend from USAID missions in countries where MOU/PSG work is being done. In addition, the Executive Director of the BIFAD, or designate, should participate in the discussions.

Where. It is recommended that the site of the individual annual review and forward planning exercise alternate between the University campus and AID in Washington, D.C. with the first review being held in Washington, D.C. and the second review being held at the University.* This will provide an excellent opportunity for persons from both the Agency and the university to become aware of the professionalism, commitment and work environment in each other's organizations.

* In the case of Joint MOUs, the reviews would alternate between each of the universities and AID.

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The Outcome:

The review of available material and data, group discussion, and informed judgments of those involved, would verify continuation of the current activities and trends in AID's portfolio, or identify probable shifts in assistance strategy, programmatic emphasis and/or geographic focus over the coming five years and interpret what impact these shifts might have on the Agency's demand for university resources.

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

OFFICE OF THE
SENIOR ASSISTANT ADMINISTRATOR

November 14, 1985

MEMORANDUM

TO : AFR/TR, Keith Sherper
: ANE/TR, Kenneth Sherper
: LAC/DR, Alfred Bisset
: S&T/FA, Jack Robins
: S&T/RUR, Erven Long
: SER/CM, H.T. Simon
: BIFAD/S, Robert Kleis
: S&T/RUR, Dave Hansen

FROM : S&T, John R. Eriksson

SUBJECT: Meeting of Agency Task Force on Title XII Memoranda
of Understanding

I am calling a meeting for Friday, November 22, 1985 to discuss the status of Title XII University Support Grants Programs. We discussed them with the land grant community at the National Association of State Universities and Land Grant Colleges (NASULGC) Meetings earlier this week. Among the items which I expect to discuss with you are how to make these programs of greater use to overseas missions and how you might participate in the evaluation of university proposals for these grants.

The meeting will be held from 1:00-3:00 P.M. in Room 1107, N.S. If you will not be able to attend, please arrange to have your agricultural officer or competent substitute attend.

A summary of Title XII University Support Grants Programs, which was shared with the land grant universities, is attached for your perusal.

Thank you.

DRAFT

STATUS OF UNIVERSITY SUPPORT GRANTS PROGRAMS

Bureau for Science & Technology
Research & University Relations

11/5/85

Status of University Support Grants Program

This Report summarizes the transition from Strengthening Grants (SGs) to more focused support grant programs for Title XII universities. These programs are divided into three types: (1) Single University MOU/Program Support Grants (PSGs); (2) Joint MOU/PSGs; and (3) Matching Support Grants (MSGs). In addition, three universities have Strengthening Grants which will continue to be funded to completion of their five year term. All future support grants will focus on facilitating and supporting the capacity of universities to provide their own staff and employees for overseas technical assistance to A.I.D.-funded projects.

I. Single University MOUs - 5 Universities

Five Single University MOUs are currently in place:

- (1) Colorado State
- (2) Florida
- (3) Purdue
- (4) Utah State
- (5) Washington State

Annual reviews were held with these universities during Spring, 1985. Based on these reviews, several provisions of both MOUs and PSGs are being renegotiated. These proposed changes are largely in response to recommendations resulting from the Inspector General's Audit of the Strengthening Grants Program which emphasized the need for greater linkages with A.I.D.-funded overseas programs. These changes will go into effect in FY 87.

II. Joint MOUs - 24 Universities

Two Joint MOUs are currently in place:

- (1) Tuskegee/Oregon State
- (2) North Carolina A&T State/Michigan State.

Draft MOUs are being negotiated with ten additional pairs of universities:

- (1) Lincoln/Minnesota
- (2) Virginia State/Wisconsin-Madison
- (3) Arkansas-Pine Bluff/Auburn
- (4) Maryland-Eastern Shore/Illinois
- (5) Florida A&M/North Carolina State
- (6) Fort Valley State/Ohio State
- (7) Alabama A&M/Kansas State
- (8) Tennessee State/New Mexico State
- (9) Prairie View A&M/Texas A&M
- (10) Southern/Louisiana State.

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They are being cleared by the S&T's Program Office, Contract Management, and General Counsel, after which they will be signed. Draft PSGs are essentially negotiated with four pairs of universities and are in various stages of discussion with the other five pairs. The basic provisions of the JMOUs are consistent with those of the Single University MOUs.

III. Matching Support Grants Program (MSGP) - 13 Universities
(Estimated)

This program is designed to provide focussed support to other qualified Title XII universities in order to enhance their contribution to A.I.D.-funded overseas projects. Three criteria for eligibility have been delineated:

- (1) Minimum average of 2.0 overseas FTE's/year of technical assistance provided to A.I.D.-funded projects during the past three years;
- (2) Successful completion of a Strengthening Grant; and
- (3) No MOU/PSG or continued Strengthening Grant.

Agreement has been reached regarding several aspects of the program to become effective in FY 87.

- o Guidelines for the program will be worked out during the next three months.
- o It will be a competitive program. Proposal evaluation will consider quality and relevance to A.I.D.'s needs.
- o Activities funded under this program will increase the effectiveness of the university's contributions to A.I.D.-funded overseas projects.
- o Maximum amount of awards to a single university under this program will be \$75,000/year. Authorized grants of \$25,000 to \$50,000 will be more common. Individual grant sizes will not be tied to FTEs; however, it is expected that there will be a high correlation between grant size and average number of FTEs provided.
- o Universities will initially submit preproposals conforming to a standardized format; universities with acceptable preproposals will be asked to submit full proposals.
- o Maximum length of grants awarded in FY 87 will be 3 years (with a corresponding maximum amount of \$225,000 -- given an annual maximum of \$75,000).

- o Subsequent requests for new proposals will be issued annually, subject to the availability of funds.
- o Grants will be matched by the university on a one-to-one basis using non-federal funds; universities will pay all overhead associated with the grants.

IV. Close out of Strengthening Grants Program

In order to prepare for an orderly termination of existing programs on the campuses, the end of FY 86 (9/30/86) has been identified as the closing date for grants that will have been in effect for five years or more. Strengthening Grants which are currently funded to a date after 9/30/86 will be funded through that date. Strengthening Grants which are to be completed before 9/30/86 will be extended to 9/30/86 at their current level of support.

Universities may request no cost extensions of the Strengthening Grants beyond 9/30/86.

V. Time Frame for making operational Joint MOUs and MSGs

(1) Joint MOUs

JMOU documents signed.....	12/31/85
PSGs negotiated.....	6/30/86

(2) Matching Support Grants

Guidelines prepared and sent to universities	1/31/86
Preproposals received by A.I.D.....	3/30/86
Evaluation of preproposals completed.....	4/30/86
Full proposals received.....	6/30/86
Full proposals evaluated.....	8/31/86
Grants Funded.....	12/31/86

Guidelines for the Application and Evaluation of Memorandums
of Understanding (MOUs) between Title XII Universities and the
Agency for International Development (AID)

In 1975 the U.S. Congress enacted Title XII of the Foreign Assistance Act which encouraged the Agency for International Development (AID) to increase its utilization of the resources of the U. S. universities in a broad range of agricultural disciplines in furtherance of international development programs. The Agency (AID) and the Title XII Board for International Food and Agricultural Development (BIFAD) have implemented a program of Strengthening Grants to enhance the capability of these universities to respond to AID's programs.

The Agency and BIFAD have agreed to create an additional step to further strengthen the Agency-University relationship. This is the Memorandum of Understanding--a long-term relationship between AID and an eligible Title XII university which has demonstrated a commitment and capability to service the needs of the Agency in Title XII development projects.

The concept of MOUs between AID and Title XII universities is described in a paper "The Title XII Memorandum of Understanding," approved by the BIFAD on 6/8/84. This paper is intended as a supplement to the earlier paper. It describes the guidelines for applying for an MOU.

Eligibility

The MOU concept paper describes three types of MOU's--Types I, II and III. It has been agreed that all MOU

applications will be for a Type II. In the review process the Agency may recommend that it apply for a Type I or Type III.

The central focus of a Type III MOU is on the enhanced performance that will accrue to the 1890 institution or Tuskegee. Together, the 1890 institution and its partner must be committed to supplying at least 10 long term overseas personnel per year for the Agency. Those 1890 and non-1890 institutions which are potentially interested in participating in a Type III MOU should contact BIFAD and S&T/AID to express their interest before proceeding to proposal preparation.

Normally a university will have received a Title XII Strengthening Grant (SG) and have been recommended as "Actionable" by the BIFAD in the SGP evaluation conducted in FY84 before it applies for an MOU. On an exceptional basis, a university may apply for an MOU without first having a SG, but it must be able to demonstrate that it is sufficiently (1) committed, (2) capable, (3) organized to manage projects, and (4) involved in the AID Title XII projects. In such instances a special review panel will be activated to recommend whether it is sufficiently strong. If rated "Actionable", the university may proceed to apply for an MOU. A university must have submitted appropriate information to the BIFAD Registry of Institutional Resources (RIR) before it is eligible to apply for an MOU. It must further demonstrate that it has in place tenure and promotion policies that encourage faculty members to participate in international programs.

Application Process

Once the university has been notified that it has been judged "Actionable" on its strengthening evaluation, it is eligible to apply to AID for a Type II MOU. The university has six months to submit its application from the date of its letter notifying the "Actionable" rating, or the date of these guidelines for application, whichever is later.

Unlike the original manpower MOUs, universities will be required to submit simultaneously proposals for the MOU, and the first Annual Work Plan. They will be evaluated jointly by the Peer Evaluation Panel which will give special attention to the degree of correspondence between the intent of the MOU and projected support grant activities.

The application (described later) is to be submitted to the AID Office of Research and University Relations (RUR), Bureau of Science and Technology (S&T). The RUR will review the application for completeness and if suitable, will submit it to BIFAD for peer evaluation after information concerning the past performance of the university on AID projects has been collected and appended.

The BIFAD will submit the proposal to a Peer Evaluation Panel consisting of five members, of which at least three will be from universities and at least one will be from AID. The Peer Evaluation Panel, on behalf of the BIFAD, will rate the proposal as "Actionable," "Non-Actionable" or "Needs Revision." If rated "Actionable," the application will then be forwarded to the Deputy Senior Assistant Administrator for the Bureau of Science and Technology. It will then be subjected to

final evaluation for suitability to Agency priorities by a committee chaired by the Deputy Senior Assistant Administrator for the Bureau of Science and Technology, and comprised of one member from each regional bureau and one member from BIFAD.

Once approved by the BIFAD and the Agency in accordance with Handbook 13 procedures, the AID Office of Contract Management, Bureau for Management (M/SER/CM), will proceed to formalize the MOU and accompanying PSG with the university. If judged "Needw Revision", it will be returned to BIFAD.

Information Presented in Application

At a minimum, the proposal should contain the following sets of informtion.

(1) Institutional Profile

This should give a broad description of the institution with specific referencxe to relevant units and programs.

(2) Relevant Disciplinary/Programmatic Areas

The institution should describe those disciplinary/programmatic areas in which it is com, titive to conduct AID Title XII development programs. These should be described in substantial detail.

(3) Geographic Areas of Interest and Relevance

Each proposal should describe the geographic regions of the world in which the university has primary interest and capability. Past experience should be included whenever relevant.

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Since language competency of appropriate faculty is a very crucial factor in successfully competing for and in implementing AID projects, plans to increase it should be outlined in detail.

(4) Agro-Climatic Zones of Primary Capability

The proposal should identify those agro-climatic zones of the world in which the university has a primary capability to conduct Title XII projects. The university should show that these zones match with those in which AID has emphasis.

(5) Past Experience in AID Work

It is desirable that each proposal describe the university's past experience in conducting AID projects. This would include a listing of each project and some commentary about each. The university should be able to draw on materials prepared for the RIR in accomplishing this.

(6) Current AID Title XII Activities and Staff Commitments

A listing of current AID Title XII activities of the university, including Joint Career Corps, IPA and other personnel involvements, is required. Appropriate commentary by the institution on the nature of these activities is encouraged. The AID agreement number must be included when the activity is being performed under an AID funded contract, grant, or cooperative agreement. For each such AID agreement, the long term and short term personnel assignments (shown separately) must be stated for each of the university's fiscal years for the prior three years. Staff commitments for each

year must be broken down into those who are from the regular faculty and staff of the institution, and those who are not (See Attached Form for Reporting).

(7) Title XII Volume of Business

Consistent with the information requested in (6), each university is asked to prepare a statement of the volume of Title XII business with AID during the last 3 years. These figures are subject to audit; therefore, we ask that they be certified by your university controller (See attached form for reporting).

(8) Non-AID Title XII-Type Activities

Each university is encouraged to include a description and commentary regarding Title XII-type project and program activities (past and current) which it has conducted without AID resources. Although this information is not to be included in calculating the level of the Program Support Grant, it is important to understanding the total relevant development experience by the institution.

(9) Institutional Policies

During the Strengthening Grant phase each institution was required to develop and implement a set of policies which would facilitate its international activities and encourage the involvement of its faculty and staff in international activities. These policies should be described in the MOU proposal, along with a commentary on their implementation. Policy regarding credit for international involvement in tenuring and promotion decisions is particularly

important.

(10) Relevance of Program/Geographic/Agro-Climatic Strengths to AID Priorities

In this section of the proposal the university is expected to show that its program/geographic/agro-climatic areas of interest and primary capability are ones which AID is currently, and will in the future be, utilizing. Those AID stated priorities are found in the following documents:

- a. Agricultural research priorities
- b. Regional strategy statements
- c. Congressional Presentation
- d. Country Development Strategy Statements
- e. Annual Budget Submissions

(11) Emphasis on Institutional Functions

It is desirable that each proposal contain a statement by the university concerning its relative interest in competing for projects which emphasize foreign student training, research or technical assistance. It is recognized that many institutions may feel that their primary capability and interest is within one or several of these areas, but, maybe not in all of them. Additionally, if universities are interested primarily in project management and/or technical contributions, this should be noted, as should a primary interest in mission staff support vs. field work.

(12) Plans to Address Deficiencies Noted in SG Review

The proposal must contain a specific statement which describes the deficiencies noted by the review of the

Strengthening Grant, as outlined in a letter from BIFAD. Additionally, a plan must be given as to how the institution proposes to correct those deficiencies. Any progress on correcting the deficiencies should be noted.

(13) Capability to Evaluate Role of Women in Projects

It is the stated purpose of AID that in all future projects the role of women in agricultural development will be appropriately integrated. Each MOU proposal should include a statement which describes its capability to integrate this specific element into project development and implementation.

Criteria to Be Used to Evaluate Proposals

Universities should take into consideration the following general criteria in preparing their applications. Applications will be evaluated against them and should be written to provide sufficient information and clarity. Essentially, these criteria can be divided into four groups, namely, general criteria, quality, content, and budget and administration and budgeting.

1. General Criteria

- a. Has the university supplied information to the RIR?
- b. Does the university have adequate tenure/promotion policies?; Do these appear in formal university documentation?
- c. Does the university have a minimum of \$250,000/year annual business with AID over the last three years?

- d. Does the university have a good record of performance on previous AID funded contracts?
- e. Does the university have a strengthening grant program that has been rated actionable?

2. Quality

- a. Is the application well written?
- b. Are various elements in the application integrated, including MOU intentions with activities listed in the first Annual Work Plan (AWP)?
- c. Does the application demonstrate linkages of the MOU to overall university mission and/or discrete teaching, research and public service activities on campus?

3. Content

- a. Is the application sufficiently related to on-going and immediately foreseeable AID financed projects?
- b. Is the application related to high demand AID areas?
- c. Does the the university indicate how it will correct for deficiencies found in the Strengthening Grant Program evaluation in the proposal?
- d. Are core faculty who will be strengthened by the program identified by disciplinary or subject matter expertise in the proposal?
- e. Does the university demonstrate in the proposal how WID activites will be promoted through the

MOU/PSG?

4. Administration and Budgeting

- a. Is there evidence of sound management and organization for the program?
- b. Do the proposed non-federal matching funds meet the grant requirements?
- c. Is a minimum of 50% of projected expenditures related to support of current and immediately foreseeable project activity?
- d. Is the method of accounting proposed for the program appropriate?
- e. Is an adequate budget proposed to carry out the activities listed in the program support grant?

Model Format for Proposed Application

As a rule of thumb, applications will be divided into two parts. The first will contain information on the university itself, how it will relate to AID development assistance programs, and how it will use the PSG to accomplish specific tasks. This is essentially a strategy statement and will be a narrative report which will be divided into appropriate sections. The second part will consist of a work plan to be followed to accomplish the strategy. This part will detail a set of activities that will be undertaken to accomplish the strategy proposed in the first part. It should include a narrative description of the work plan as well as a budget.

As a guide to assembling the information to be presented in the Application, it is suggested that universities structure

their applications in the following way:

The Model Format

1. Part I

A. About the University

- a. Institutional Profile
- b. Important Discipline/Program Areas
- c. Geographic Areas of Interest
- d. Agro-climatic Zones of Interest
- e. Tenure/Promotion/Salary Increase Policies for Overseas Development Assignments

B. About University Development Projects

- f. Past AID Financed Projects
- g. Current AID Financed Projects
- h. Projected AID Financed Projects
- i. Non-AID Financed Title XII Type Activities
- j. Major Types of Contracts to be Sought

C. About Use of MOU/PSG to Match University Resources with Agency Needs

- k. Fit between University Program and AID's Needs
- l. How Deficiencies Noted in SGP Evaluation Will be Handled
- m. How Women Will Be Integrated into Projects

Part II.

A. A.I.D. Project Support Activities

In this section you are to show how activities to be carried out under your MOU/PSG will be related to your on-going and immediately foreseeable contract activities. It is

required tht each university dedicate at least 50% of the total (matching and non-matching funding) to this type of activity.

a. Current A.I.D. Funded Projects (The information requested below should be provided for each of the projects).

i. Status/Description of Project

ii. Manpower Requirements for Project

iii. Training Inputs to Project

iv. Research Inputs to Project

v. Activities to Be Undertaken in Support of Project

b. Immediately Foreseeable A.I.D. Funded Projects (The information requested below should be provided for each of the projects).

i. Status/Description of Project

ii. Manpower Requirements for Project

iii. Training Inputs to Project

iv. Research Inputs to Project

v. Activities to Be Undertaken in Support of Project

B. Other Program Support Activities (In this section you are to indicate other activities which you intend to undertake in support of the broader university international development program. This might include preparing in a general sense to take on contracts in a new region of the world, mobilizing resources in a more general sense, etc. The titles used below are meant to be illustrative and parallel those

found in the model format for the MOU).

A. Mobilizing Resources

i. Activities to Be Undertaken

ii. How Activities Support A.I.D. Development
Assistance Program

B. Other Research/Educational Programs

i. Activities to Be Undertaken

ii. How Activities Support A.I.D. Development
Assistance Program

C. Capacity Building (Including Shifting Subject
Matter/Geographic Areas of Emphases)

i. Activities to Be Undertaken

ii. How Activities Support A.I.D. Development
Assistance Program

D. Public Education

i. Activities to Be Undertaken

ii. How Activities Support A.I.D. Development
Assistance Program

E. Other

i. Activities to Be Undertaken

ii. How Activities Support A.I.D. Development
Assistance Program

The Memorandum of Understanding: Background Issues

(For use at Title XII seminars only)

During the past several months AID, BIFAD and the Title XII university community have discussed a variety of issues concerning the implementation of various types of Memoranda of Understanding. This paper is a brief summarization of the resolution of those issues as of January 5, 1984.

Types of MOUs

Although several types and variations of type of MOUs have been suggested, it appears that three basic types can be identified which are of most interest to AID and BIFAD. They are:

Type I: Manpower specific with a single university.

Type II: General with a single university, which do not provide for specific manpower commitments.

Type III: Manpower specific involving a large experienced university with an 1890 institution in a joint arrangement.

Characteristics of MOUs by Type: Current Status and Areas of Agreement

Type I (manpower specific, single university): Five such MOUs have been signed¹ and although none are under consideration at this time, this paper assumes that the possibility remains that there may be others. Thus,

¹ Five Type I MOUs are with University of Florida, Purdue University, Colorado State, Utah State and Washington State.

it includes a discussion of their characteristics. The main features and provisions of Type I MOUs are:

- o They contain specific manpower and subject matter commitments consistent with AID's expected needs.
- o An accompanying Program Support Grant (PSG) equal to 10% of a moving three-year average of AID business up to a limit of \$300 thousand.
- o The PSG requires matching, except for those funds used for costs (e.g. salary) of core staff when not assigned to an AID-funded project.
- o An Annual Plan of Work must be prepared and updated each year. The Plan will delineate the program areas within the faculty to be maintained for current and foreseeable responses to AID/grantee contract needs. It delineates how a university will mobilize its professional and institutional resources, prepare its staff focus relevant aspects of its research and educational program on LDC problems and otherwise increase and maintain its capacity to participate in Title XII activities in the LDCs.
- o The MOU requires an annual review and provides for an evaluation of the activities carried out under the MOU.
- o It provides for an Indefinite Quantity Contract (IQC) for the purpose of supplying short-term professional help to AID.

Type II (general): Although no MOUs of this type have been negotiated, their provisions have been the subject of considerable discussion. There

seems to be general agreement that they should differ from Type I as follows:

- o No specific manpower commitments would be made, whether on the part of AID or the university.
- o There will not normally be an IQC associated with the MOU.
- o Annual Work Plans for the PSG would necessarily be less specific.

Type III (Joint MOUs): The concept, provisions and characteristics of Joint MOUs are evolving, but have not been spelled out up to this time. The intent of AID is that the smaller institution in this type of MOU be restricted to 1890 institutions at this time. No such MOUs have been negotiated but two are under active discussion. There seems to be general agreement within AID, BIFAD and JCARD that:

- o The main purpose of a joint MOU is to link a larger, more experienced institution with an 1890 to work together in areas of mutual interest in support of AID objectives.
- o It is not necessary to have a joint MOU in order to bid jointly on AID projects.
- o Joint MOUs are limited to two universities.
- o Both institutions are eligible for PSGs (or to continue a Strengthening Grant in the case of the 1890 institution) but, the amount of such grants will be computed and funded directly with each institution.

JH/

A Resolution of Issues Concerning
Memoranda of Understanding Between AID and Title XII Universities

During the past several months AID, BIFAD and the Title XII university community have discussed a variety of issues concerning the implementation of various types of Memoranda of Understanding. Recently, BIFAD and AID formed a joint task force to address those issues which had not previously been resolved. This paper lists the agreed-upon solutions to the issues.

Issue No. 1:

Is a Strengthening Grant a prerequisite for an MOU, and if so, how many years must an institution have a Strengthening Grant to qualify?

Solution:

Normally, a university will be expected to complete a five year Strengthening Grant and to pass the peer review process before becoming eligible to apply for an MOU. Exceptions to this process may occur in unique cases and if such exceptions are made it will include a rigorous review process designed for the particular case.

Issue No. 2:

What are the criteria for an 1890 institution to become eligible for each type of MOU and what is the process for determining eligibility?

Solution:

Normally, if an 1890 institution wants to apply for an individual MOU, it will be eligible to do so after completing a matching Strengthening Grant and being judged actionable by the peer review process.

If an 1890 institution wants to apply for a Joint MOU it must first have either a non-matching or a matching Strengthening Grant which has been in place for a long enough time that progress can be identified and reviewed. At that point the 1890 institution may seek an MOU partner which has substantial AID experience and which has complementary strengths which can be identified in the form of a plan. AID and BIFAD will evaluate the proposal against specific criteria drafted for Joint MOUs. At the time of entering a Joint MOU the 1890 institution may continue with its non-matching Strengthening Grant until the grant has completed five years. If reviewed favorably the 1890 institution would move to a Program Support Grant which would assure up to \$100,000 per year of AID funding or 10% of the institution's three-year average of AID work, whichever is higher. The Program Support Grant must be matched and after five years will revert to funding based only upon 10% of the three-year average of AID work.

In the instance of an 1890 institution which has a non-matching Strengthening Grant at the time of entering a Joint MOU, its funding will convert to a Program Support Grant and its period of assured funding will be for whatever time remained on the matching Strengthening Grant.

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In the future, it shall be unacceptable for any institution to receive more than one type of strengthening or program support funding at the same time.

Issue No. 3:

In the future, should AID as a matter of policy require a peer evaluation process for eligibility for any type of MOU or should the Agency reserve the right to enter into Special MOUs for reasons of its own without such review process?

Solution:

AID will require a peer evaluation process for all types of MOUs.

Issue No. 4:

Should a formal application process be identified and should it differ among types of MOUs?

Solution:

A formal application process will be defined for all MOUs and it will be widely circulated to the Title XII universities. The specifics of the process will differ in some aspects by type of MOU.

Issue No. 5:

What should be the criteria for selecting applicants for MOU negotiation and how should it differ among types?

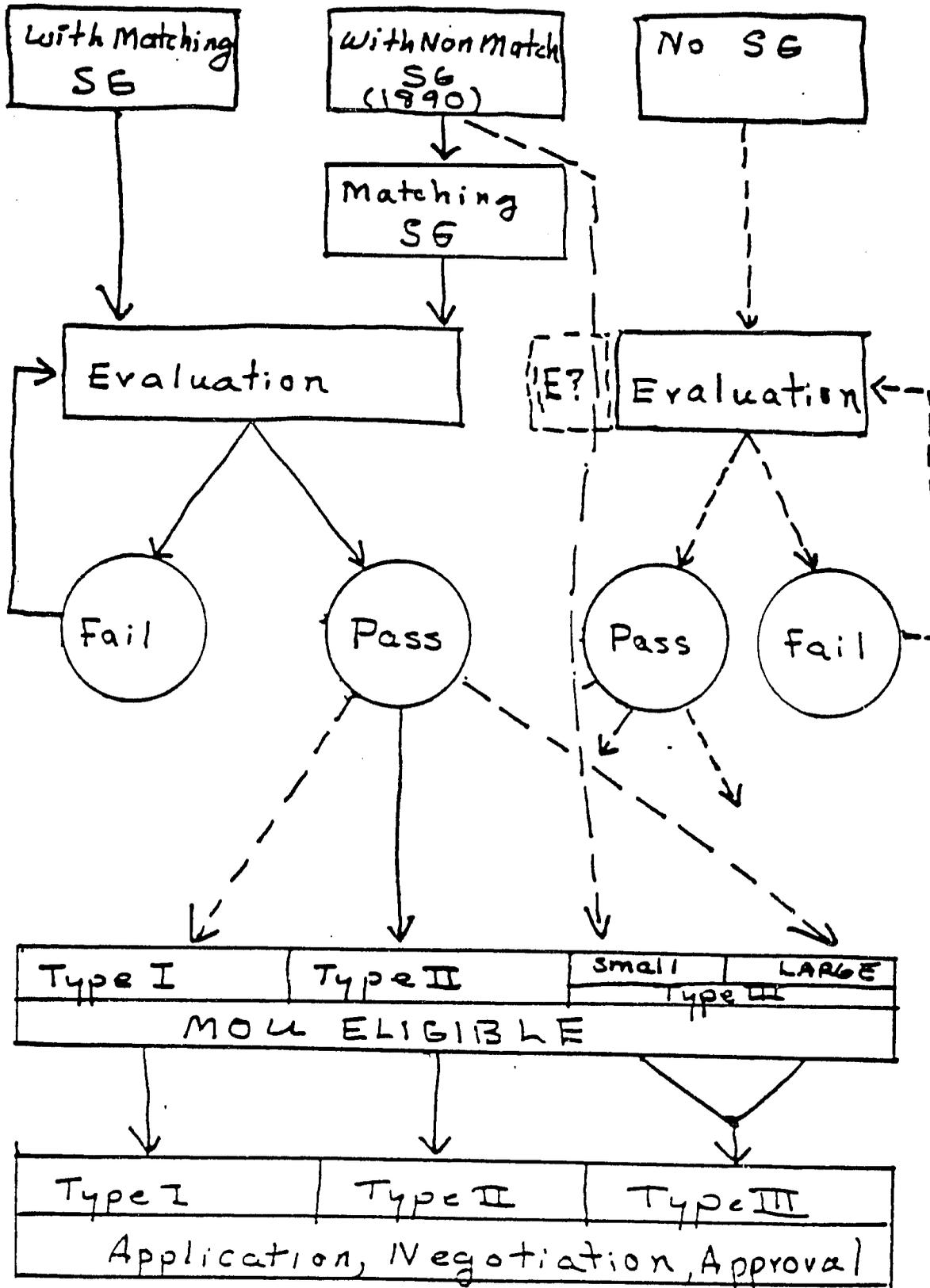
Solution:

AID and BIFAD will jointly develop criteria and a process to select universities for an appropriate MOU. It is intended that BIFAD shall play a significant role in assisting the Agency in operationalizing the process, at least in the early stages.

Figure 1

The MOU Process for Three Categories of Title XII Institutions and Three MOU Types

Eligible Title XII Institutions:



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SUMMARY
SUBJECT MATTER AND GEOGRAPHIC AREAS
MEMORANDA OF UNDERSTANDING

<u>I. Subject Matter Areas Specified</u>	<u># MOUs</u>	
(1) Plant Science		
Plant Genetics	1	
Crop Production	9	
Ag Research Management	1	
Plant Protection	2	13
(2) Other Agriculture		
Farming Systems	11	
Tropical Soils	2	
Biotechnology	1	
Post Harvest Loss	1	15
(3) Animal Science		
Livestock Production	10	
Animal Health	2	
Arid Land/Livestock	3	15
(4) Rural Development		
Rural Community Development	3	
Off Farm Employment	1	
Institution Building	9	
Information/Technology Transfer	5	18

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<u>II. Subject Matter Areas Specified</u>	<u># MOUs</u>	
(5) Agricultural Economics		
Agribusiness Management	2	
Farm Management	2	
Production Economics	1	
Public/Agricultural Policy	8	
Agricultural Finance	2	15
(6) Engineering		
Water/Irrigation	3	
Energy/Appropriate Technology	3	6
(7) Natural Resources		
Conservation and Management	5	
Environmental Management	5	
Agroforestry	1	
Range Science	1	12
(8) Food Science/Nutrition		
Human Nutrition	6	
Food Science	1	7
(9) Aquaculture		
Inland Fisheries	1	1
<hr/>		<hr/>
TOTAL.....		102

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SUMMARY OF MEMORANDA OF UNDERSTANDING COMMITMENTS BY U.S. UNIVERSITIES

<u>University</u>	<u>Geographic Areas</u>	<u>Subject Matter Areas</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>1989</u>	<u>1990</u>
Auburn/Arkansas-Pine Bluff	Africa, Latin America/Caribbean, Asia	Fisheries Management; International Information and Research Networks; Farming Systems; Aquaculture				10	10	10	10	10
Colorado State	No Focus	Water Resource Development; Institution Building; Rainfed/Dryland Agriculture; Policy, Pricing and Marketing	15	16	16	16	16	16	16	16
Florida	No Focus	Farming Systems; Humid Tropical Food Crops and Livestock Production; Tropical Plant Protection; Institution Building Low Fossil Fuel Energy Systems	14	14	14	14	14	14	14	14
Illinois/Maryland-Eastern Shore	Africa; Latin America/Caribbean	Human Nutrition; Legumes and Edible Oil Seeds; Farming Systems; Agricultural Technology Transfer; Agricultural Policy Analysis; Renewable Resources Management/Utilization				10	10	10	10	10
Kansas State/Alabama A&M	Africa; Asia	Farming Systems; Post Harvest Cereal Technology; Food Science; Institution Building; Natural Resources/Energy Conservation and Management				7	7	7	7	7
Michigan State/North Carolina A&T State	Africa, Asia, Latin America/Caribbean	Farming Systems; Agricultural Economics; Institution Building; Natural Resources including Agroforestry; Off farm Employment; Human Nutrition; Agriculture Research Management; Agricultural Engineering, including Appropriate Technology and Energy		10	10	10	10	10	10	10
Minnesota/Lincoln	Africa, Latin America/Caribbean	Environmental Management in Less Favored Natural Resource Areas; Food and Agricultural Policy; Human Nutrition; Crop Production; Livestock Production				10	10	10	10	10

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<u>University</u>	<u>Geographic Areas</u>	<u>Subject Matter Areas</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>1989</u>	<u>1990</u>
New Mexico State/ Tennessee State	Africa, Latin America/Caribbean, Near East	Farming Systems; Crop Production; Live- stock Production; Rural Development; Institution Building; Acid Land Range Management				8	8	8	8	8
North Carolina State/Florida A&M	Africa, Asia, La- tin America/Car- ibbean	Soil Management; Agriculture Policy; Institution Building; Integrated Crop Protection; Human Nutrition; Environmen- tal Management; Technology Transfer; Livestock Production; Agribusiness Man- agement				7	7	7	7	7
Ohio State/ Fort Valley State	Latin America/ Caribbean, Africa	Natural Resources/Energy Conservation and Management; Agricultural Finance; Biotechnology; Small Family Farm Programs; Small Ruminants				7	7	7	7	7
Oregon State/ Waskegee	No Focus	Agricultural Crop and Livestock Produc- tion Systems; Small Farming Systems; Ru- ral Community Development; Animal Health Care; Institution Building; Nutrition and Health Care Delivery Systems		10	10	10	10	10	10	10
Arkansas State	Africa	Plant Genetics and Production; Farming Systems; Farm Management; Production Economics; Public Policies; Tropical and Subtropical Soils; Human Nutrition/Health; Energy; Animal Production/Health	15	15	15	15	15	15	15	15
Texas A&M/ Prairie View A&M	Africa, Asia, La- tin America/Car- ibbean	Crop Production; Irrigation; Agricultural Policy; Agroforestry; Range Science; Farm- ing Systems; Agribusiness; Agricultural Technology Transfer; Animal Production				10	10	10	10	10

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<u>University</u>	<u>Geographic Areas</u>	<u>Subject Matter Areas</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>1989</u>	<u>1990</u>
Utah State	Africa	Natural Resources Development & Management; Irrigation Engineering and Water Resources; Arid Land Agriculture and Live stock; Human Nutrition; Development Policy and Administration; Training and Institution Building	10	10	10	10	10	10	10	10
Washington State	Africa	Institution Building; Farming Systems; Arid Land Agriculture; Crop Production Livestock Production; Natural Resource Management; Food and Agricultural Policy		15	15	15	15	15	15	15
Wisconsin/Virginia State	Africa, Latin America/Caribbean, Asia	Agricultural Finance; Farming Systems; Rural Development; Natural Resources; Agricultural Extension and Information Systems; Crop Production; Livestock Production				10	10	10	10	10
TOTAL.....			62	98	98	194	194	194	194	194

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The Title XII Memorandum of Understanding: A Status Report

Introduction

The concept of a Memorandum of Understanding (MOU) between AID and Title XII institutions has evolved as another instrument for long-term linkage of AID's needs to the capabilities and interests of universities. The evolutionary process has now moved from concept to reality - a stage that requires that the "rules of the game" be specified and that criteria and procedures be spelled out. Because of the importance of this new instrument, the widespread interest throughout the Title XII community, and the complexity of the instrument itself, the process has been slow and misunderstandings have been many.

A milestone in the evolutionary process was reached recently when BIFAD and a joint AID/BIFAD Task Force reached agreement on several of the major unresolved issues about the provisions of each type of MOU and the process for implementation. On January 5, 1984, the Board approved, in principle, the recommendations of the Joint Task Force and expressed its desire that AID and BIFAD continue to work jointly to resolve the remaining issues so that the MOU can be fully operational.

This paper is a status report, intended to record agreements reached about the types of MOUs that will be available, the criteria that must be met to qualify for each and the process that will follow.

Background

In June, 1980, BIFAD and AID agreed upon the concept of Memoranda of Understanding (MOUs) between Title XII universities and the Agency as an

evolutionary sequel to Strengthening Grants. Its purposes were to solidify, further develop, and more sharply focus a continuous partnership between a university and AID. An MOU provides support from AID to develop the human capital base at a university which agrees to make this available over the long term to AID.

In a 1983 speech, the AID Administrator encouraged joint MOUs. The purpose of this second type of MOU is to link a larger, more-experienced university with a less-experienced 1890 institution (including the Tuskegee Institute) in areas where there is mutual interest, competency, and complementarity of resources. Two pairs of such universities are now being considered on a pilot basis and AID and BIFAD have agreed that no additional MOUs will be negotiated until a process is agreed to for determining eligibility.

A joint BIFAD/AID Task Force appointed after the March 1983 BIFAD meeting recommended, and JCARD agreed, that the MOU concept be broadened to include any Title XII university which is judged by a rigorous peer review process to have met the objectives of the SGP and is prepared and able to work effectively with AID on a focused long-term basis. This Task Force has continued to work out agreements on the major issues surrounding MOUs and will oversee their implementation.

In summary then, the MOU is a planning document specifying a long-term, continuous partnership and commitment to Title XII on the part of one or more universities and AID. An MOU does not guarantee AID contracts to those

who have them nor exclude those without an MOU from bidding on projects or contracting with AID. Institutions without an MOU, however, would not be eligible for a Program Support Grant.

Types of MOUs and Their Provisions

The Joint Task Force specified three types of MOUs that will be available, each serving a somewhat different purpose, different eligibility criteria and, consequently, containing different provisions:

Type I: Manpower specific with a single university.

Type II: General, single university, no specific manpower commitments.

Type III: Joint, manpower specific involving a large experienced university and an 1890 institution (including Tuskegee).

Type I will be a manpower specific MOU with a single institution spelling out areas of concentration. Five such MOUs have been signed or are awaiting signature. The Task Force envisions that only a limited number of additional Type I MOUs will be negotiated based on AID's projected needs and how these needs match interested universities.

The main features and provisions of Type I MOUs are summarized as follows:

- o They contain specific manpower and subject matter commitments consistent with AID's expected needs.
- o They provide for an accompanying Program Support Grant (PSG) equal to 10% of a moving three-year average of AID business up to a limit of \$300,000 annually.

- o The PSG requires matching, except for those funds used for costs (e.g. salary) of core staff when not assigned to an AID-funded project.
- o An Annual Plan of Work must be prepared and updated each year. The Plan will delineate the program areas within the faculty to be maintained for current and foreseeable responses to AID/grantee contract needs. It delineates how a university will mobilize its professional and institutional resources, prepare its staff, focus relevant aspects of its research and educational program on LDC problems and otherwise increase and maintain its capacity to participate in Title XII activities in the LDCs.
- o The MOU requires an annual review and provides for an evaluation of the activities carried out under it.
- o It provides for an Indefinite Quantity Contract (IQC) for the purpose of supplying short-term professional help to AID.

Type II Mous contain no specific manpower commitments either on the part of the university or AID, but their purpose is to provide a framework for a long-term cooperative relationship.

Type II MOUs are intended to:

- o specify the willingness and intent of AID and the university to work together to solve the problem of world hunger.
- o provide for an accompanying Program Support Grant (PSG) equal to 10% of a moving three-year average of AID business up to a limit of \$300,000 annually.

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- o require an annual plan of work similar to that required for a Type I MOU.
- o require periodic evaluation of activities carried out under the MOU.
- o provide for an IQC if the volume of business warrants.

Type III (Joint MOU) is an agreement between AID and two Title XII universities, one of which is a large experienced university and the other a 1890 institution (including Tuskegee). Type II MOUs represent one of AID's initiatives in fulfillment of its commitment to the Historically Black Colleges and Universities and, therefore, includes affirmative action as one of its purposes. The following are features that will apply to all future joint MOUs¹.

- o The Joint MOU will spell out how the two universities intend to work together to meet AID's needs in agriculture, nutrition and rural development.
- o It will specify subject matter and geographic areas in which the two institutions will focus their joint efforts.
- o It will commit a minimum of 10 full-time equivalents (FTE) shared between the two universities which will be available for AID projects overseas.

¹Two such MOUs were being negotiated before those guidelines were developed and therefore, those MOUs may not necessarily conform to those guidelines.

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- o Both the MOUs will provide for a Program Support Grant to each institution equal to 10% of the institution's previous three-year average of AID business up to a total of \$300,000. However:
 - If the 1890 institution had not completed five full years of a Strengthening Grant, it could elect to complete five years, but would be required upon signing an MOU to refocus activities under the Strengthening Grant to be consistent with the MOU.
 - The Program Support Grant for the 1890 institution will be 10% of the institution's three-year average of AID work or \$100,000, whichever is greater up to a maximum of \$300,000 (unless the institution for whatever reason elected not to apply for or match the full amount).
- o The two institutions must prepare, annually, a plan which shows clearly their areas of complementarity and how they intend to work together to meet its objectives.
- o The MOU does not require the two universities to bid jointly on AID projects nor is it necessary to have an MOU to bid jointly.
- o Joint MOUs are limited to two universities.

Eligibility for MOUs and How Determined

The Joint Task Force agreed that normally an institution should be expected to have completed five years under a Strengthening Grant and to pass a peer

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review evaluation before becoming eligible to apply for an MOU. The Joint Task Force recognized that there may be exceptional circumstances where an institution, never having applied for a Strengthening Grant or not having completed five full years, could make a case that they are sufficiently capable to contribute to AID's objectives to warrant entering into an MOU. If there are such cases to be made, the Joint Task Force took the position that the institution would have to pass a rigorous peer review process comparable to other institutions. In any case, the Joint Task Force concluded that a minimum condition for eligibility is that the institution be listed on the Roster of Eligible Institutions (Roster A).

Because of AID's affirmative action program for the HBCUs, 1890 institutions (including Tuskegee) have special options available to them for MOUs and are given special consideration in the eligibility criteria. First, an 1890 institution, as an eligible Title XII institution, can, if it meets the criteria, enter into a Type I or Type II MOU. If the 1890 institution elected to pursue a Type I or II MOU, it would be required to complete five years in a matching Strengthening Grant (after its non-matching grant, if it had one) and to be rated actionable by a Peer Review Panel¹.

¹It should be noted that there is an element of affirmative action to assist 1890 institutions to meet the eligibility requirements for Type I and Type II MOUs because they are assured of at least 10 years Strengthening Grant funding (five years matching and five years non-matching) whereas other eligible institutions are assured of only five years.

If the 1890 institution chooses to pursue a Joint MOU with a larger institution (which has met the criteria for an MOU), the 1890 institution would normally be expected to have completed five years of a Strengthening Grant and received an actionable rating by a peer review panel. In special circumstances (e.g. where an 1890 institution can show progress under an existing Strengthening Grant and has a strong partner institution interested in a Joint MOU), a special peer review process would be established.

Application and Review Process

If an institution believes it has met the eligibility requirements for an MOU, the next step in the process would be formal application to AID. At this time the particulars of the application process have not been spelled out, but the Joint Task Force agreed that one should be developed applicable to all types of MOUs and this information would be widely circulated to Title XII universities.

The Joint Task Force does not envision the application process need be complicated or constitute a major paperwork burden for either the applicant or AID. But, there is a need to specify the data and justification necessary for review before entering this important new relationship. Such information might include:

- o the subject matter areas in which the institution proposed to cooperate with AID;
- o a summary of past contributions to AID;

- o dollar volume and FTE faculty devoted to AID work;
- o geographic areas of concentration and/or special competences; and
- o an indication of the level of effort the institution would expect to be able to provide to AID on a sustained basis.

In addition to the above, application for Joint MOUs would, also, require:

- o information on the areas in which the two institutions propose to work together and how the resources of each complement each other;
- o how the larger university proposes to assist the 1890 university in strengthening its capabilities to do AID work; and
- o the extent to which the two institutions have agreed upon or have a plan for working together on AID projects.

The applications for an MOU will be review by a panel designated by JCARD with oversight by the joint AID/BIFAD Task Force on MOUs. Applicants will have to receive an endorsement by BIFAD before AID proceeds with negotiations.