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REPORT TO CONGRESS

ON

TITLE XII - FAMINE PREVENTION AND

FREEDOM FROM HUNGER

OF THE

FOREIGN ASSISTANCE ACT OF 1961

AS AMENDED

Submitted by the

UNITED STATES  
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## INTRODUCTION

The twenty months since September 30, 1981 - the ending date of the period covered by the last Report to the Congress on Title XII - has been a period characterized by initiative and planning.

During this period A.I.D., with BIFAD (Board for International Food and Agricultural Development) consultation and guidance, has carried forward with continuing and increased emphasis its programs of assistance to developing countries in pursuit of the Title XII goals of Famine Prevention and Freedom from Hunger. It has also continued to finance those extremely important programs of research which provide the new knowledge upon which significant agricultural progress in developing countries so profoundly depends. And it has continued to provide support to strengthen U.S. universities so that their essential roles of providing technical assistance to developing countries, and training their scientists and agricultural leaders may be more effectively carried out.

However, this past twenty months has been a period of intense analysis and evaluation: of basic approaches and of programs, of A.I.D.'s working relations with universities, and of the universities' responsibilities. It has been a period of new initiatives and of organizational adjustments.

Budget realities dictate with extreme forcefulness that A.I.D. find ways of maximizing its impact, of concentrating its energies, and of applying its resources at the point of greatest leverage over both natural and man-made obstacles to agricultural development and nutritional improvement.

Science rushes forward, creating opportunities for new, more powerful solutions to old, recalcitrant food production and human nutritional problems. Developing countries evolve in their sense of the types of assistance they need and of the terms and working style under which they can accept that assistance and incorporate it into their own nation-building processes.

A.I.D. and BIFAD, working together, have learned a great deal about these new realities and of the challenges as well as problems they present. Therefore, this Report to the Congress on Title XII will feature an accounting of the analysis, the planning, and the new initiatives begun - rather than recitation of program undertakings - during the twenty months since the period covered by the last Report. Except where otherwise indicated, it describes activities as of April 30, 1983, rather than as of September 30, 1982 (the end of the last fiscal year).

This Report discusses three general sets of analyses and initiatives undertaken during the period Oct. 1, 1982 - April 30, 1983.

First, A.I.D. has undertaken a major revision of policy and establishment of strategies and priorities on institutional development and research in agricultural development and nutrition. BIFAD has participated fully with A.I.D. in this process.

Second, with full and continuous participation of BIFAD, the Agency has vigorously pursued recent initiatives and has taken additional initiatives to improve systems of collaboration with universities in Title XII programs.

Third, BIFAD, with A.I.D. support, has taken important steps to improve substantially its effectiveness in participating in Title XII planning and implementation. It has implemented a joint policy accord with A.I.D. (described in the last report to the Congress). It has established a long-term agenda of action. It has made important adjustments in its staff and recruited a new Executive Director. It has restructured its subordinate committee, combining the two former committees, on research and on agricultural development, into a single body.

These three efforts represent a consummation of years of background representation by BIFAD on principles and approaches to foreign assistance, brought into operational focus by an A.I.D. Administration which believes strongly in the principles of Title XII and which is determined to incorporate those principles in an effective way into its program.

Together, in interaction with each other, these three efforts should profoundly advance the principles of Title XII and the achievement of its goals of Famine Prevention and Freedom from Hunger. The emphasis given them constitutes a reaffirmation by A.I.D. and BIFAD of the value of accomplishments thus far and the promise which their continued cooperation holds for the future.

## I A.I.D. POLICY, STRATEGY AND PRIORITY REFORMULATION FOR AGRICULTURAL AND NUTRITIONAL IMPROVEMENT

### A. The Process

The Agency-wide planning followed logical steps.

A policy paper for food and agricultural development was drafted, thoroughly reviewed internally, redrafted and published. This set the broad framework for the more specific documents on sector strategies and research priorities.

Agency-wide Sector Strategy Statements, on Agriculture and on Nutrition, were prepared. This was done under the guidance of the Agency's Sector Council on Agriculture, and the Sector Council on Nutrition, respectively. These bodies were established to bring together the technical professional

leadership of the various operating units of the Agency and representatives of BIFAD staff to focus on agricultural or nutritional issues in common for the Agency as a whole.

In addition to the Agency-wide Sector Strategy Statements, each Regional Bureau developed a strategy statement for agriculture and rural development which worked within the general framework of the Agency strategy statement, but adapted to the specific issues of the individual region. BIFAD staff participated, through the Sector Councils and other means, in the formulation of the Sector Strategies. BIFAD reviewed both the Agency-wide and all four Regional Sector Strategies for Agriculture at a formal BIFAD meeting.

Finally, priorities for research in agriculture were reformulated through a process involving A.I.D. professionals, the two Sector Councils, and outside experts - again with BIFAD staff participation. As this Report is written, this research priority paper, and the accompanying implementation plan, are being reviewed throughout A.I.D. The final steps of issuing the several strategy statements and agreeing upon research priorities and implementation plans will cap a year of deep-going and systematic reassessment and change.

Featured throughout the Agricultural Policy paper and the Agency-wide and the Regional Agricultural Sector Strategy statements is the clear identification of the four principle means to achieve development objectives:

- sound host country economic and social policies;
- emphasis on the private sector;
- emphasis on institution building and human resource development;
- emphasis on creative and adaptive use of science and technology.

In sum, the analytic process for reformulation of policies, strategies and priorities for agriculture and nutrition, carried out during the period covered by this Report, included:

- Publication in May 1982 of major policy statements dealing with food and agricultural development, and with nutrition.
- Preparation and intensive review in early 1983 of sector strategies for food and agriculture, and for nutrition.
- Drafting, early in 1983, of Agency priorities and implementation plan for research in agriculture.

The Agency's technical professionals, including the BIFAD staff and representatives of all central and regional bureaus, provided full cooperation and collaboration in completing these steps. The process of drafting and agreeing on a sector strategy provided substantial proof of the value of the Agency's Sector Councils, which were formed late in 1981.

## B. The Policy Papers

### 1. The food and agricultural development policy

The major policy objectives in food and agriculture are to enable countries to become self-reliant in food, to assure food security for their people, and to grow economically. The 1982 Policy Paper emphasizes four means to accomplish those objectives.

- Improve country policies. Sound country policies are fundamental to agricultural growth and the effectiveness of economic assistance. A.I.D. will critically examine country policies affecting food and agricultural development and seek to concentrate assistance in those countries where appropriate policy exists or where there is commitment to improve policy.
- Develop human resources and institutional capacity. Effective institutions provide a country a self-sustaining capacity to generate and apply the science and technology necessary to solve development problems. Adequate human resource development is essential for food and agricultural institutions to be effective. This means adequate training for professional and technical staff and for farmers. External (in U.S. or another country) and in-country training of scientists, technicians, managers, extension agents, farmers, and skilled workers will be supported. Efforts will be made to expand opportunities for women to serve as food and agricultural development professionals.
- Expand the role of developing country and U.S. private sectors. Given an appropriate policy environment and the complementary support of the private-sector institutions and physical infrastructure, the private sector can constitute a dynamic, efficient and innovative force for food and agricultural development.
- Provide food aid and food security. Food aid can be a valuable development resource for supplementing local production, enhancing short- and long-term food security and reducing malnutrition, providing the food aid is so managed that it encourages rather than discourages domestic agricultural production.

A.I.D. policy emphasizes that technical training opportunities and technical advisers will be the major modes of support for food and agricultural development including, of course, technical assistance on issues of economic and social policies. The Policy Paper puts American universities at the top of the list of "main U.S. sources of technical expertise." Enhancement of the role of American university expertise, as provided by the Title XII, is clearly indicated.

## 2. The nutrition policy

The objective of A.I.D.'s nutrition policy is to maximize the impact of development programs on the nutritional well-being of poor people in developing countries. To assure that agricultural goals are achieved and that the benefits of development reach the poor, the nutritional needs of the rural population and nutritional impacts of development programs must be taken in account. Increased food production does not automatically mean better nutrition, especially in the short term.

The nutrition policy:

- Places highest priority on alleviating undernutrition - inadequate food consumption and poor biological utilization of nutrients.
- Aims to improve nutrition through sectoral programs in agriculture, health, food aid, population and education as well as through direct nutrition programs.
- Will be implemented through incorporating nutrition and food consumption as factors in decision-making in sectoral strategies, programs and projects.

The role of the American universities as sources of technical expertise is strongly implied in nutrition policy, which puts major emphasis on more food in the hands of the undernourished consumer -- a main element in food and agricultural development policy.

## C. The Sector Strategies

Activities under Title XII will bear mostly in the strategy to strengthen human resources and institutional capacities and to improve developing country policies. The university role will move along a continuum ranging from the advisory on policy through formal training and institution-building to provide science, technology and policy leadership for the future. A.I.D.'s strategy in this area is to improve:

- The level of knowledge and technology that is applicable to developing countries.
- The institutional processes of getting those technologies developed and adopted in those countries.

Three general levels of food and agriculture research and development activities are listed:

- Those that address problems that are either country specific or that can be best resolved by relatively independent country program efforts.
- Those that address intercountry problems that can be best resolved by collaboration among countries where the problems exist.
- Those that address interregional or global problems, or both, that can be best resolved by international research centers, or organization of intercountry research arrangements among developed and developing countries, that assure focus on major problems common to many countries, usually in more than one region.

Certain program implications are contained in all A.I.D. assistance to strengthen human resources and institutional capacities -- applying to improving country policies and to expanding the role of the private sector as well as to research and extension systems. Those implications are;

- Development of human resources and institutional capacities usually require a long-term commitment - of 10 years or more.
- The key goal in institution-building is developing the capability to match the supply of U.S. technical resources with developing country needs. A primary source of assistance in such efforts will be Title XII universities.
- A.I.D. will increasingly utilize selected local and regional institutions for training, special studies, design work, evaluation, and research as a means of strengthening such institutions. (U.S. universities assist, or have previously assisted, in the building of these local institutions.)
- Activities at all levels will be in coordination with other donors.

## 2. Strategy for nutrition development assistance

The A.I.D. strategy deal with nutritional problems that affect development through sectoral programs in agriculture, health, population and education, and through direct nutrition programs and food aid. Four models of malnutrition are presented:

- Inadequate availability of food.
- Adequate food but people cannot afford it.
- Adequate food and purchasing power but improper dietary practices.

- Adequate food and good diet but nutrient loss in body after ingestion.

Long-term work will be in programs to increase food production, create jobs, enhance consumer purchasing power, and improve post-harvest food handling and storage. This will be done primarily through agricultural-rural development programs. Studies and other steps will be taken to understand better the economic forces at work at the household and family level. Solutions will be aimed at the areas with greatest nutritional risk.

As in the food and agriculture strategy, Title XII universities will play a major role in work based on the nutrition strategy.

#### D. Research Priorities in Agriculture

The sector strategy papers provided a basis for the Science and Technology Bureau's Directorate for Food and Agriculture to start identifying research priorities. Priorities identified were based on the judgments of outside experts and of A.I.D. technical staff, who pinpointed the main constraints to achieving A.I.D. objectives in food and agriculture development assistance.

Research needed to relieve those constraints was categorized in terms of commodities, problems, and disciplines. Agency portfolios were reviewed to determine current and projected research priorities implicit in the present program. A.I.D. missions, together with key host-country agricultural research contacts, identified problems that merited priority research support. The assembled information was reviewed and analyzed in two workshops by 12 senior outside experts -- nine of whom came from U.S. universities -- and by members of the Sector Council for Agriculture, BIFAD staff, and other A.I.D. and outside technical resource personnel.

There was clear consensus on the need to develop management systems to use more effectively human resources and natural environments. Six related research areas of special concern were identified for an increasing share of future research support.

- Management systems for sustained productive use of fragile environments. A better understanding is needed of fragile environments, and of current management systems for them, as a basis for development of systems that are more productive and sustainable.
- Systems requiring minimum purchased inputs. This is especially relevant to areas where the availability or cost of purchased inputs, or both, represent a serious constraint to increased production.

- Crop and animal protection (pre- and post-harvest) by most cost-effective and environmentally acceptable means.
- Livestock in mixed farming systems. This concerns systems that include crops, livestock, and, often, agroforestry, and their relationships.
- Food and agriculture policy. Research can help build the methodology and capacity to evaluate policy alternatives affecting food and agriculture development.
- Institutional capability to generate suitable technologies and to get them applied. Strong national research systems linked to production enterprises are essential to develop and apply new, relevant technology.

Within the framework of the six concerns, priority research categories and topics were identified based on two assumptions:

- New technology will continue to be developed largely through the International Agricultural Research Center network (supported by an A.I.D. core budget contribution plus special activities financed by USAID missions and host countries), through the Collaborative Research Support Program (CRSP), and through other selected centrally funded research activities.
- Priority research supported by regional bureaus and USAID missions will continue to concentrate on technology adapting to resolve specific host country agricultural problems.

Common Themes Approach - A major principle pervading all discussion of research is the need to achieve more effective interaction among the research activities financed by A.I.D. and carried out in many locations throughout the world where common constraints exist. Much research, especially of an applied nature, deals with site-specific problems and must be done within the individual country or locality within the country. Much of this is "adaptive" research in that it adapts more basic knowledge available from research elsewhere to the particular needs and characteristics of the locality. Obviously, the larger the adaptation required, the more expensive is the process. If all of this adaptation must be done individually, by each country, the resulting duplication of effort is wasteful of resources. If some or much of it can be done in one or at most a few places, leaving to the individual country only the last-stage adaptation to highly local circumstances, limited resources can accomplish much more. This common themes approach to organizing research programs is being emphasized by A.I.D. in an effort to promote a more efficient, cost-effective program.

But the central research must be guided by the local requirements if it is, in the end, greatly to advance local research toward solution of local problems. Therefore, much emphasis is currently being given to finding means of achieving greater intercooperation between local and centralized research endeavors, in research design and implementation on those problems - or elements of problems - where such intercooperation will substantially increase effectiveness. This is essential if the critical mass of scientific effort necessary to achieve major breakthroughs is to be brought to bear on developing country problems without losing the needed specific relevance to local circumstances.

A.I.D. is now developing plans to implement the above research priorities. These plans are based upon the establishment of collaborative research networks among groups of countries with similar problems. The plans will be funded jointly by central and regional bureaus and the relevant USAID missions.

## II NEW INITIATIVES FOR IMPROVED A.I.D. COLLABORATION WITH THE UNIVERSITIES

In a report to the Congress dated October 16, 1981, the General Accounting Office (GAO) observed a lack of clear policy direction on Title XII and poor communication and guidance between A.I.D. and its missions contributing to uncertainty about how to implement Title XII within country programs. In October 1982, the Administrator issued a Policy Directive (See Appendix I, Page 26) to clarify and reaffirm the Agency's commitment to carrying out the mandate of the Title XII legislation and to provide guidance for its more effective implementation. This document has provided the necessary educational base for better acceptance and utilization of the newer thrusts of the Title XII approach.

Several initiatives introduced last year have been going through the first stages of implementation during the period covered by this Report. This has been a period of exploration, adjustment, and firming of procedures. In addition, one major new initiative, on behalf specifically of the Historically Black Colleges and Universities, has just recently been announced by the Administrator.

A. The Joint Enterprise Mode - This is a new contracting mode which will improve A.I.D.'s access to the substantial resources of smaller universities. The traditional competitive process by which university contractors are selected makes it difficult for the smaller less-experienced university, with few but highly-valued resources, to compete with larger universities for projects calling for a wide range of resources. Under this new approach, a smaller university may become part of a joint enterprise by proposing to undertake a portion or segment of a project.

The first project using this approach is under way in Niger, involving a private university, an 1890 (minority) land grant university, and 1862 land grant university and an international agricultural research center. This first experience will contribute to a further refinement of procedures. Several others are in the exploratory stages. We expect the Joint Enterprise Mode to be used widely in the future.

B. Memoranda of Understanding (MOU) - These are instruments for achieving mutual A.I.D. and university agreement upon a projected long-term plan of action and cooperation between A.I.D. and the selected university. An MOU defines the technical and geographical areas in which A.I.D. expects to use each university's expertise and identifies an agreed-upon core group of professional positions as a target for long-term A.I.D. involvement. This best-efforts projection of long-term and continuous involvement in A.I.D. programs enables the MOU university to make the commitment to maintain a core staff of talented and experienced professionals for work with A.I.D.

So far, MOUs have been signed with Colorado State University, the University of Florida and Purdue University, and negotiations are under way with Washington State and Utah State Universities. A joint A.I.D./BIFAD Committee has been established to review experience and establish criteria and guidelines for selection of additional universities for Memorandum of Understanding.

C. The Joint Career Corps (JCC) - This initiative, introduced in 1982, is designed to bring the current scientific expertise of selected senior faculty members into the Agency through two-year appointments, normally overseas, alternating with approximately four-year periods back on their campuses. In May 1982, the Administrator approved an Operations Manual for the establishment of the JCC. The FY 1983 budget contains funding for up to 25 new JCC positions, most of them overseas. These are all for high level, policy and program-influencing advisory positions in the A.I.D. field mission involved. Four JCC agreements have been signed with U.S. universities and seven other agreements are imminent. Initial assignments will be in nine countries. We are soliciting university nominations for fourteen additional requests for JCC positions in eight additional missions.

Intrinsic to the program is the "reverse JCC," under which direct-hire A.I.D. professional personnel are assigned to work for a university, on teaching, research or other activity, funded by the university. The first of these, an agricultural economist now serving in Pakistan, is being assigned to teach at the University of Idaho for one year. He will also be re-establishing his professional credentials through research and seminars during his year on campus.

D. Special Program for the Historically Black Colleges and Universities

In September 1981, the President issued Executive Order 12320 specifying that Federal Government Departments and Agencies should take special measures to assist the Historically Black Colleges and Universities (HBCUs) and to involve them more fully in federal programs. This was followed by a Presidential memorandum of September 22, 1982, specifying some measures to be taken and emphasizing the need for the Federal government to assist in strengthening the infrastructure of these institutions.

These mandates gave impetus to a general A.I.D. policy - reinforced in Title XII subject areas by BIFAD advice and counsel - of providing special assistance and arrangements for involving these institutions. Accordingly, on April 15, 1983, the A.I.D. Administrator announced a special five point program providing for:

- strong emphasis on contracting for "joint enterprises" by HBCUs and other, larger universities for long-term overseas teams which the HBCUs normally are too small to staff adequately;
- increased use of HBCUs for short-term services to A.I.D. field missions;
- execution of Joint Memoranda of Understanding with combinations of HBCUs and larger universities to stabilize future planning projections, supported by grants to strengthen their infrastructure;
- initiation of a small research grant program exclusively for HBCUs to identify and encourage their outstanding scientists and scholars;
- emphasis on involving HBCU faculty in joint career employment arrangements with A.I.D.

Implementation of this program will be supported by a committee representing all operating units of the Agency and by a special arrangement for providing direct assistance to HBCUs to facilitate their participation.

III PRINCIPAL ACTIVITIES OF BIFAD: REAFFIRMATION AND REORIENTATION

A. People and Structure

BIFAD completed a review of its functions, structure, relationships, and staffing. The review drew on BIFAD's more than five years of experience, and the Joint Resolution which

BIFAD Chairman Wharton and A.I.D. Administrator McPherson had signed in May 1981. The end product of the review, which BIFAD conducted in consultation with persons knowledgeable of the BIFAD experience both in the university community and in A.I.D., was a revised Charter.

In framing its Charter revision, BIFAD started from the premise set forth in the Joint Resolution that

"... its primary mission is to help A.I.D. to mobilize and utilize the faculty and institutional resources of eligible universities, and to advise and assist A.I.D. to develop and implement the components of the Title XII program ..."

The revised Charter elaborates the duties for which BIFAD is responsible, reflecting those areas where BIFAD has a comparative advantage in assisting A.I.D.

A major output of BIFAD's review, and an integral part of the changes incorporated in the revised Charter, was the establishment of the Joint Committee on Agricultural Research and Development (JCARD). Superseding and combining the Joint Research Committee and the Joint Committee on Agricultural Development, JCARD serves BIFAD as the link at the operating level on concerns of A.I.D. and/or the universities. The revised Charter notes that JCARD is "joint" between the federal government and the universities, not only in membership, but also in development of the agenda, carrying out committee work, and in provision for co-chairpersons.

Two new Board members were appointed by the President and began their service with BIFAD during 1982. Daryl Arnold of California is President of the Western Growers Association, a leading shipper of fruits and vegetables. Ernest T. Marshall of Kansas is Vice President of Montgomery Associates, and a specialist in mergers and marketing. In November President Reagan made his third BIFAD appointment: Charles J. Marshall of Idaho, a farmer and the President of the Western Idaho Potato Processing Company. The new members replaced David Garst, Johnnie Prothro, and Rebecca Pollard, whose terms had expired.

The BIFAD staff experienced several major changes. Frederick E. Hutchinson, Vice President of the University of Maine, replaced Elmer R. Kiehl as Executive Director. John G. Stovall of the U.S. Department of Agriculture assumed the post of Chief of the Research Division, following James Nielson's departure. C. Jear Weidemann of the University of Wisconsin became Chief of the Institutional and Human Resources Division, a position formerly held by Glen Taggart. Robert G. Huesmann left his position as Chief of the Country Programs Division; as of this writing, his successor has not been designated.

## B. A New Agenda

In BIFAD's view, the decision to establish JCARD reflected the successful completion of one BIFAD agenda and the beginning of work on another. The first agenda included the fostering of a collaborative style in project design and implementation, and the development of guidelines and participation in program reviews for Strengthening Programs and CRSPs. Under its new agenda, BIFAD seeks to assist A.I.D. to mobilize university resources in support of the four priority instruments emphasized by Administrator McPherson for delivering assistance: i.e., the private sector, research and technology transfer, policy reform, and institutional development.

Thus BIFAD is exploring ways whereby U.S. universities and the private sector -- both for-profit enterprises and private voluntary organizations -- can reinforce each other's efforts on agricultural development programs of mutual interest. BIFAD plans to sponsor studies on country policies conducive to agricultural development of developing countries; and will continue to review A.I.D. policies as they relate to the selection and composition of country programs. In 1982 BIFAD followed its participation in A.I.D.'s Fiscal Year 1984 budgetary process last summer with an October meeting devoted to two key policy issues: a review of A.I.D. strategy for middle-income countries, and a discussion of A.I.D. agricultural training strategy. BIFAD Staff interactions with universities and international research centers reinforced the involvement of women in economic and social development programs.

Education and training figured prominently in BIFAD's budgetary recommendations. BIFAD recommended that A.I.D. provide increased funding for agricultural participant training, with the bulk of increases going to academic degree training. Further, BIFAD called for A.I.D., along with BIFAD and the university community, to develop "innovative, cost-effective opportunities" for involvement of Title XII institutions in the participant training process. Looking at A.I.D. country programs, BIFAD opined that these should reflect increased investments in strengthening agricultural education institutions in the developing countries, and include more general programs in education and training not related to requirements of specific projects. A JCARD panel assessed papers prepared by the A.I.D. Office of International Training and by university representatives, and proposed an implementation plan for selected recommendations.

In research and technology transfer, BIFAD's new agenda continues the shift from giving primary attention to CRSPs to increasing concern with other responsibilities. Indeed, BIFAD's major research activity planned for 1983 is a review of the International Agricultural Research Centers -- a subject of major emphasis in the Title XII legislation. In its input to the budget process, BIFAD had recommended such a review, which

A.I.D. welcomed. JCARD established an expert panel which initially will assess A.I.D. policy with respect to the centers. The panel will then review the centers' programs, relating these to other research centrally funded by A.I.D., to A.I.D. Mission needs, and to research interests of U.S. universities. (One of BIFAD's budget recommendations was to insulate CRSPs and other centrally funded agricultural research from competition with funding for the centers, while meeting standing commitments for U.S. contributions to the centers' core budgets.) JCARD will also be a focal point for reviewing and monitoring CRSPs, for consideration of A.I.D. research priorities, and exploring opportunities for extension and technology transfer in developing countries.

BIFAD's new agenda will continue its principal emphasis on facilitating the mobilization of the expertise of Title XII universities for A.I.D. institutional development projects. In 1982, and for the foreseeable future, that emphasis has included both:

- attracting and selecting the most qualified individuals and university contractors to carry out Title XII projects; and
- increasing attention to university performance.

For the first of these tasks, BIFAD devotes a major share of its staff resources to help A.I.D. achieve the optimal matching of university technical resources with A.I.D. project needs. While A.I.D. decides on the selection of university contractors, BIFAD staff have played a crucial role in rounding up qualified bidders for the less attractive projects, in mitigating problems between A.I.D. and potential contractors, and in offering advice. BIFAD is now engaged in a study to determine action required to refine the matching process, and to improve universities' understanding of it.

BIFAD uses the Registry of Institutional Resources, a central depository of information on available university expertise, to help identify qualified institutional candidates for project work. Those universities which have not yet provided BIFAD with information on their capabilities are at a disadvantage in the selection process; and BIFAD is seeking to persuade them to do so promptly.

Last year's annual report referred to the study then underway of financial and non-financial incentives for undertaking Title XII overseas contract assignments. That study is now complete, and its findings are based on surveys of 43 top administrators of Title XII institutions and over a thousand faculty. The study reports on their attitudes and interests, discusses options for increasing the total supply of university talent, suggests ways to attract younger faculty as well as those of "top quality", and accords special attention to the "tough nut" projects. BIFAD is currently exploring how best to follow up on the study's recommendations.

The annual cycle of Regional Title XII Seminars provides A.I.D. and the universities with the opportunity for communication about A.I.D. policies and programs, modes for university involvement, and problems in working together. Representatives of over fifty institutions exchanged ideas with A.I.D. staff in the seminars held at Cornell, Texas A&M and Oregon State Universities. Featured topics included the implementation of A.I.D.'s agricultural strategy for Africa, the new initiatives for A.I.D.-university collaboration referred to earlier in this report, the incentives study, an A.I.D. progress report on science and technology in support of agricultural programs, cooperation with the private sector, and the project documentation and review process. BIFAD believes the improved understanding -- and interaction -- achieved through the regional seminars contributes importantly to achieving more effective utilization of U.S. university expertise in A.I.D. institutional development programs.

In accord with increased attention to university performance, BIFAD's new agenda addresses concerns shared by A.I.D. and the universities. In 1979, the National Association of State Universities and Land Grant Colleges had adopted a "Statement of Principles for Effective Participation in International Development Activities." A task force sponsored by the Association and BIFAD drafted an elaboration of the original statement. The new document provides universities with more detailed guidelines for self-study and for assessing extent of compliance with the Principles. Essentially it is a self-monitoring guide, including a series of specific questions geared to each of the nine Principles, for any university seeking to enhance performance in international activities by altering its policies, procedures, and organization. At the same time, A.I.D. will be able to use it in classifying institutions according to potential for providing technical assistance. The Association will consider it for final approval in the fall of 1983.

The new agenda also calls for BIFAD to help implement a comprehensive program for better orientation of university staff for overseas work. In a report to the Congress dated October 16, 1981, the General Accounting Office had recommended, among other things, that "the Administrator should establish a better means of preparing and assisting university staff members for overseas assignments." BIFAD staff held four major meetings over a six-month period involving 35 representatives from universities and various offices in the Agency. With a former A.I.D. Mission Director as consultant, an orientation program outline was prepared and circulated for comments to 12 selected missions in four regions and to 139 university administrators and faculty. A "Training of Trainers Workshop" is being planned and a project-specific pilot orientation program, using the concepts and materials developed so far, will be conducted for three families going to Botswana under a university contract. Other universities will be invited to send observers for possible replication.

#### IV ANALYSES OF SOME ASPECTS OF SPECIFIC TITLE XII PROGRAM COMPONENTS

##### A. Strengthening Program

This program, designed to help U.S. universities to adapt their domestic resources to developing country problems, consists of 47 Matching Grants (under which the universities contribute approximately two dollars for every federal dollar received) and nine non-matching Minority Institution Grants. Two new Matching Grants were added this past year, to bring it to this total. (See Appendix II, Page 34)

Evaluation of the strengthening grant program provided the basis for some modifications of A.I.D. policies and procedures for implementing the program. It became apparent that university strengthening programs move through three general stages. Individual universities start through these stages at different points, depending in large part upon their current or recent involvement in A.I.D. programs. Failure to move to stages two and three constitutes failure of the university's strengthening program to make satisfactory progress.

Stage One is characterized by activities designed to acquaint the university broadly with opportunities for development assistance work with A.I.D. and to achieve the necessary depth and breadth of university commitment to such work. The university explores fruitful directions and experiments with a variety of strengthening activities. It examines and reformulates policies on faculty salaries, tenure and promotion to fit the special circumstances of overseas work.

Stage Two is characterized largely by efforts to increase involvement in A.I.D. projects. The university focuses on certain subjects and geographical areas, and develops coalitions of universities, through formal or informal consortial arrangements, to combine those complementary resources in a manner appropriate to A.I.D. needs. Especially, the strengthening program is narrowed to investments in those persons for whom overseas work on A.I.D. contracts is a definite and near-term possibility.

Stage Three is characterized by universities' use of their strengthening programs primarily to support and increase the effectiveness of their current projects with A.I.D. Highest priorities go toward remedying present shortcomings in project performance, through such means as: selecting and preparing personnel for unfilled project positions or positions held by other than members of the contracting university's faculty; providing intensive language training for prospective contract employees; preparing replacement candidates for any marginally effective or unsatisfactory team members; developing special courses and programs for participants; expanding research of special importance and applicability to the project situation; improving management of and support to the field projects, etc.

Though about a third of the grantee universities still have minimal A.I.D. project involvement (0 to \$500,000 annually), the universities reported that 59% of their total strengthening program expenditures (A.I.D. plus university funds) were "directly related to on-going A.I.D. contract projects, or to projects being planned for the immediate future." Because the universities contributed more than twice as much as A.I.D. to their strengthening programs, total funds spent for such field project support activities substantially exceeded the total A.I.D. contribution.

It should be noted that the formula provision for limiting strengthening grants to no more than ten per cent of the university's volume of business with A.I.D. after the first five years, is designed to support the movement of the program into Stage Three by the end of that five year period.

Most of the matching formula strengthening programs moved vigorously along the normal progression from Stage One, through Stage Two and toward Stage Three. Most of the programs have been in effect about two and one-half years, and have completed the Stage One type of emphasis. Shifts from Stage Two to Stage Three emphases appear, with a few exceptions, to come about rapidly once universities achieve a high level of involvement in A.I.D. projects.

In those cases where the strengthening program does not significantly support active development assistance projects --where, for example, staff members in francophone countries are ill-equipped in French language capabilities, or where team members are recruited largely from other universities--sharp adjustments in strengthening program content will be called for.

The Agency convened in September and October 1982 a series of Manager-to-Manager workshops with all strengthening grantee universities to discuss these and other policy changes based on the first three years' experience, and to develop more effective procedures for program implementation. The BIFAD Staff and A.I.D. are developing joint arrangements, with the help of a JCARD panel, to assess the individual universities' progress under the strengthening program. This assessment will lead to important decisions with regard to the future of each strengthening grant.

#### B. Collaborative Research Support Programs (CRSPs)

The CRSPs, which increased to seven in 1982, involved nearly 30 Title XII universities, some in more than one CRSP. The identification and selection of problem areas for incorporation into the CRSP effort was carried out jointly by A.I.D. and BIFAD, in extensive interaction with colleagues at the U.S. Department of Agriculture and representatives of the relevant agribusiness sector. The substantial financial contribution of the participating U.S. universities to this effort reflects the significant feed-back benefit of the program to domestic agriculture.

The seven active CRSPs are in the following subject areas:

- Small ruminants, initiated in 1978; involves 11 universities.
- Sorghum and millet, initiated in 1979; involves 8 universities.
- Beans and cowpeas, initiated in 1980; involves 11 universities.
- Soil management, initiated in 1981; involves 4 universities.
- Peanuts, initiated in 1982; involves 4 universities.
- Pond culture agricultural systems, initiated in 1982; involves 5 universities.
- Effects of human malnutrition, initiated in 1981; involves 6 universities.

Some highlights of the work done under two of the CRSPs indicate the type of contribution to be expected from these programs in the future:

- The determination by the Small Ruminant CRSP that 40% of the world's sheep and 77% of the world's goats are owned primarily by small farmers in developing countries. Those small ruminants are falling far short of their potential production of meat, milk and wool.
- The placement of 14 highly qualified small-ruminant scientists in Brazil, 13 in Peru, 6 in Indonesia, 15 in Kenya and 2 in Morocco.
- The eradication of caprine arthritic encephalitis (CAE) in Kenya. To quote a statement in one report, "It is no exaggeration to say that this alone ... may have justified the expenditure of the entire (investment) in the CRSP."
- Substantial progress toward exploiting the potential of prolific types of sheep by incorporating this trait into other breeds of sheep in use throughout developed and less developed countries alike. This is extremely important as low reproduction rates characteristic of sheep are a major detriment to increasing meat production and contributes to a waste of feed and pasture on maintaining overly large numbers of breeding stock.

- The accession under the Peanut CRSP, in its first year, of 200 additions to the peanut germplasm collection in the U.S. This germplasm will be used by CRSP researchers but will also be fully shared with U.S. peanut breeders. Most significant is the fact that the 238 accessions from Nigeria are available to U.S. researchers only because the CRSP existed. Among these contributions from Nigeria are genes for resistance to peanut diseases important in the United States. There are also germ plasm accessions having tolerance for drought and other adverse environments. These resistances and tolerances represent an early CRSP payoff to the great future benefit of peanut farmers in the United States as well as the developing world.

### C. Selected Country and Regional Projects

As indicated earlier in this Report, the building of developing country institutional and human resource capabilities required for sustained agricultural and nutritional improvement is a centerpiece of A.I.D. policy and strategy. BIFAD has consistently and strongly urged this focus.

Such institutional and human resource capability requires development of a local institutional infrastructure which features close interrelationships among training of scientists and professionals for agricultural leadership, development and adaptation of scientific knowledge through research to meet local agricultural needs, and extension and other service to local farmers and rural communities to bring new knowledge and technology to their benefit.

Although the design of A.I.D. assistance varies from country to country and project to project, corresponding to variations in local circumstances, the general pattern of assistance is designed to achieve such institutional integration of functions. This is reflected in the design of those A.I.D. country projects in agriculture and nutrition which have any significant research or institution-building (including human resource development) components, as shown by the proportion of such projects in which both research and institution-building are integrated components of a single project. The following table shows this proportion for each of the Regional Bureaus:

Project focus	AFRICA Bureau	ASIA Bureau	Latin America & Caribbean Bureau	Near East Bureau	ALL REGIONS
	%	%	%	%	%
Research only	27	38	31	9	28
Institution Building only	15	15	32	4	17
Research and Inst. Building	58	47	37	87	55
Total	100	100	100	100	100

Even the research program of the central Bureau for Science and Technology features this interrelationship, with 36% of its research projects strongly featuring a developing country institution-building component, and six percent of its projects having this latter as their sole objective.

#### V IN CONCLUSION

Title XII has become a central feature of the U.S. foreign assistance effort, comprising some two-thirds of the budget for food, and nutrition and rural development activities. This past several months have emphasized a strengthening of policy, articulation of strategies and priorities, and realignments of A.I.D. and BIFAD staff resources toward more effective pursuit of Title XII goals. This Report has been an account of principal elements of that forward look, which it is hoped will give specific shape and dimension to Title XII activities substantially into the future. Next year the Report will be an account of accomplishments.

SEPARATE STATEMENT OF THE BOARD FOR  
INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT (BIFAD)

The legacy of the past year is an amalgam: a clearer definition of basic purposes, mixed with lingering doubts on ways and means.

Our revised Charter reflects our agreement with AID as to what we can do best. The establishment of the Joint Committee on Agricultural Research and Development (JCARD) marks the achievement of much of BIFAD's original agenda through separate committees on research and country programs. A new agenda seeks to assist AID to mobilize university resources in support of the Administrator's four priority instruments for delivery assistance: institutional development, research and technology transfer, policy reform, and the private sector. AID's Policy Directive on Title XII clarifies for its country missions the objectives of that legislation and the mechanisms for carrying it out.

The Administrator has turned to us for advice and assistance. In our budget recommendations, and otherwise, we feel we have asked some of the right questions: What policy and program preferences should guide AID decisions on budgetary support for the international agricultural research centers? Except at the margin, is it really possible to "do more for less" -- and we believe AID should do much more -- in agricultural participant training? How can AID work with "Advanced Developing Countries" for mutual advantage, and to the benefit of less developed countries? We are properly cautious about our ability to help on topics, such as identifying the most fruitful areas for university - private sector collaboration, where so much

ground remains to be ploughed. But, in all these matters, we welcome the opportunity to help search out the answers.

In our statements included in the last two annual reports, we have commended AID for the progress made in exploring new instruments for cooperation between AID and the universities in international development assistance. Both these reports have also detailed university accomplishments under Strengthening Programs. We remain true believers. But it does seem to us that AID needs to think through the desired relationships among the various instruments for utilizing university talent in the less developed countries -- the Memorandum of Understanding (MOU), the Joint Enterprise Contracting Mode, Technical Support for Missions, et., -- and between them and the Strengthening Programs. We recall that the GAO, too, raised questions about the relationship between Strengthening Programs and MOUs, and the intended use by AID of Strengthening Program grantees. Our discussions with AID suggest agreement, in principle, on 1) ensuring the use of the expertise of universities participating in MOUs; 2) capitalizing on the strengths, wherever found, of the diverse institutions with international development programs; and 3) achieving the best possible expertise available for any given project. We recognize that, in any particular case, these objectives are not always compatible; and we welcome the opportunity to work with AID as it spells out its plans and procedures.

Some of us are leaving BIFAD, and others of us are just taking hold of our Title XII tasks. All of us share a sense of exhilaration from the promise gradually being met, and the challenge still ahead.

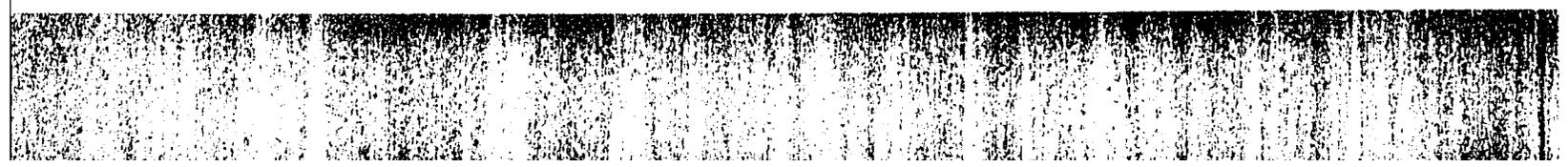
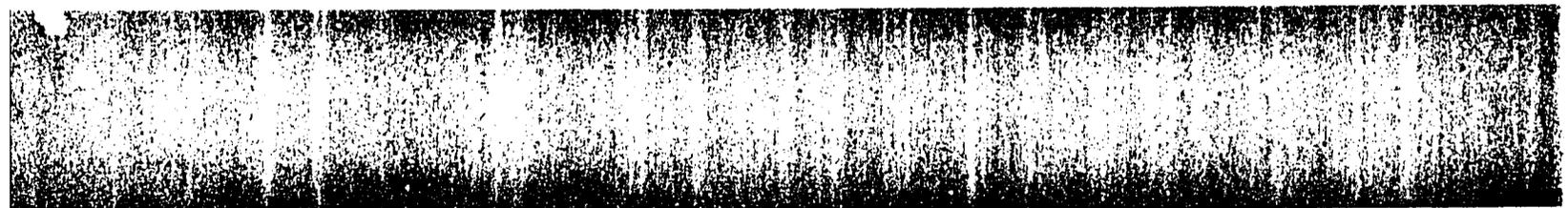
# **POLICY DETERMINATION**

Agency for International Development

PI)-4

October 5, 1982

## **TITLE XII**



PD-4  
October 5, 1982

## Policy Directive on Title XII

### Summary

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

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

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

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

- 2 -

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

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

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

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

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

- 3 -

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- We have drafted procedures for the Joint Enterprise Mode (JEM), designed primarily, but not exclusively, to involve specialized expertise at the smaller, less-LDC-experienced institutions in joint agreements with the more experienced institutions in Agency work. A pilot project is being developed to try out the new arrangement.
- As we are completing the analysis of the overall Strengthening Program, as planned for this third year, and as we are moving out of the initial phase of reorienting administration and faculty, we are revising the guidelines and procedures for these grants, increasing the focus and structure of individual activities, including subject and geographic concentration, to be more directly related to ongoing and anticipated projects with AID.
- We have awarded three TSMs (Technical Support to Missions) by which a university provides assistance to a Mission in designing, analyzing or evaluating its programs and projects. By working with institutions having significant in-country experience, Missions can have rapid access to current, readily-available expertise based on specialized, accumulated experience.

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

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

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

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

2 Attachments:

Attachment A - A Joint Resolution

Attachment B - Statement of Principles

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

## A JOINT RESOLUTION OF AID AND THE BIFAD

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

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

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

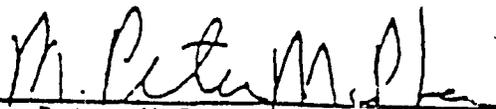
Whereas: The Title XII Amendment in late 1975 reaffirmed and enhanced the role of universities in AID's agricultural and rural development programs, and gave greater Congressional mandate to their involvement; and

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

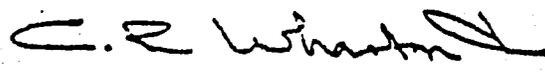
Whereas: The U.S. Agricultural universities provide a strong human and institutional resource to support, advise and assist developing countries in planning and executing selected elements of their agriculture and rural development programs.

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

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

  
M. Peter McPherson  
Administrator, Agency for  
International Development

May 20, 81  
Date

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

May 26, 1981

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

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

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

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

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

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

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

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

February, 1979

FY 1982 STRENGTHENING PROGRAM

MATCHING FORMULA

<u>UNIVERSITY</u>	<u>Budget AID</u>	<u>Contributions UNIVERSITY*</u>
U. of Arkansas, Fayetteville	\$ 88,076	\$ 93,200
U. of Arizona	\$100,000	\$100,000
Auburn U.	\$ 75,327	\$129,248
U. of Cal., Davis**	\$ 0	0
Cal. St. U. (Fresno)	\$ 67,112	\$102,994
Cal. St. U. (Pomona)	\$ 98,589	\$124,767
Colorado State U.	\$126,242	\$153,500
Cornell U.	\$ 64,174	\$104,603
U. of Delaware	\$ 95,057	\$ 98,289
U. of Florida	\$100,000	\$150,000
U. of Hawaii	\$100,000	\$100,000
U. of Idaho	\$100,000	\$131,450
U. of Illinois	\$112,000	\$168,000
Iowa State U.	\$ 76,060	\$121,089
Kansas State U.	\$ 95,102	\$150,044
U. of Kentucky	\$100,000	\$104,000
Louisiana State U.	\$ 87,047	\$120,228
U. of Maine (Orono)	\$100,000	\$108,866
U. of Maryland	\$100,000	\$225,000
Michigan State U.	\$300,000	\$363,919
U. of Minnesota	\$100,000	\$105,000
U. of Mo (Columbia)	\$100,000	\$125,000
Montana State U.	\$ 84,555	\$100,000
U. of Nebraska (Lincoln)	\$100,000	\$113,208
New Mexico State U.	\$100,000	\$103,485
No. Carolina State U.	\$100,000	\$100,000
Ohio State U.	\$ 97,739	\$118,991
Oklahoma State U.	\$100,000	\$131,620
U. of Puerto Rico	\$100,000	\$102,288
Purdue U.	\$ 66,387	\$ 74,440
U. of Rhode Island	\$ 99,900	\$154,846
Rutgers University	\$100,000	\$161,486
Sam Houston State U.	\$ 60,770	\$107,301
South Dakota State U.	\$ 61,051	\$105,705
So. Ill. U. (Carbondale)	\$100,000	\$126,082
U. of Tennessee	\$ 55,679	\$ 97,613
Texas A & M U.	\$208,028	\$212,546
Texas Tech U.	\$100,000	\$180,000
Tuskegee Institute	\$ 25,408	\$ 30,377

MATCHING FORMULA (Continued)

<u>UNIVERSITY</u>	<u>Budget AID</u>	<u>Contributions UNIVERSITY</u>
Utah State U.	\$219,327	\$230,000
U. of Vermont	\$ 99,800	\$119,000
Va. Poly. Inst. & State U.	\$ 81,040	\$131,232
Virginia State U.	\$ 64,498	\$ 70,917
Washington State U.	\$100,000	\$105,000
U. of Wisconsin (Madison)	\$115,763	\$158,124
U. of Wisconsin (River Falls)	\$ 99,915	\$125,000
<b>TOTAL</b>	<b>\$4,524,646</b>	<b>\$5,838,458</b>

MINORITY INSTITUTIONS  
(Non-Matching)

<u>UNIVERSITY</u>	<u>AID GRANT</u>
Alabama A&M U	\$ 64,453
Univ. of Ark., Pine Bluff	\$ 16,534
Florida A&M U.	\$134,674
Fort Valley State College, GA.	\$ 19,580
Lincoln U.	\$ 82,985
U. of Maryland (Eastern Shore)	\$ 94,022
No. Carolina A&T State U.	\$ 61,651
Tennessee State	\$ 11,244
Virginia State U.	\$ 89,270

TOTAL \$574,413  
GRAND TOTAL \$5,099,059\*\*\*

\*/ In addition to this direct cost contribution, universities contributed all overhead or indirect costs for both the A.I.D. and University funded direct cost components. This overhead plus direct cost contribution, constituted an aggregate university contribution about double that of A.I.D.

\*\*/New Grantee in FY 1982.

\*\*\*/Only \$5 million was obligated in FY 1982; the remainder was unexpended carryover from FY 1981.

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