ASSESSMENT OF THE HIGHER EDUCATION PARTNERSHIPS FOR GLOBAL DEVELOPMENT PROGRAM

Volume I

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¹ See Appendix G, ISTI Assessment Team Contacts.

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The team, not any of the individuals mentioned above, is responsible for any errors or omissions in this report.

Acronyms

AACC American Association of Community Colleges

American Association of State Colleges and Universities AASCU

Association of American Universities AAU ACE American Council on Education

AFR USAID Bureau for Africa

ALO Association Liaison Office for University Cooperation in Development

ANE USAID Bureau for Asia and the Near East

BIFAD Board for International Food and Agriculture Development

CA Cooperative Agreement

COTR Contract Officer's Technical Representative **CRSP** Cooperative Research Support Program

Office of Education ED

EDDI Education for Development and Democracy Initiative in Africa

Bureau for Europe and Eurasia of USAID E&E

EGAT USAID's Bureau for Economic Growth, Agriculture and Trade

EPP Educational Partnership Program

Fund for the Improvement of Post-Secondary Education **FIPSE**

Higher Education for Development Initiative **HEFDI**

HIO **HEFDI** Implementation Office

UNCF's International Development Partnerships IDP

Institutional Partnership IΡ JAC Joint Advisory Committee

Junior Professional Internship Program **JPIT** JPTP Junior Professional Trainee Program

JPT Junior Professional Trainee

LAC USAID Bureau for Latin America and the Caribbean

National Association of Independent Colleges and Universities **NAICU** National Association of State Universities and Land Grant Colleges **NASULGC**

NGO Non-governmental Organization

Negotiated Indirect Cost Rate Agreement **NICRA**

Project Director (of an ALO Partnership program) PD

RFA Request for Applications Request for Proposals **RFP**

Special Initiative SI

SO Strategic Objective (of USAID)

U.S.-Mexico Training, Internships, Exchanges and Scholarships Initiative TIES

UNCF United Negro College Fund

United States Agency for International Development **USAID**

Executive Summary

Introduction. This report presents an independent assessment of Promoting Higher Education Partnerships for Global Development, a program financed by the United States Agency for International Development (USAID) and implemented by the Association Liaison Office for University Cooperation in Development (ALO). The American Council on Education (ACE) is the fiscal agent for ALO, which is a partnership of six sector-based U.S. higher education associations. These associations, combined, represent some 4,000 U.S. colleges and universities.

ALO is financed under a cooperative agreement (CA) signed by USAID and ACE in September 1997. The authorized level of funding is just under \$72 million. As of early August 2004, USAID had obligated \$59 million under the CA and 25 subsequent modifications. USAID has extended the program so that ALO can make new sub-awards to participating universities until September 2005 for programs that will be fully implemented by September 2007.

The CA provides support to the U.S. higher education community (HEC) to facilitate a working partnership with USAID. It is designed to support the achievement of USAID's strategic objectives, provide support to higher education institutions in USAID presence countries, strengthen their roles in addressing development problems, and increase the attention given to international development issues on U.S. campuses and by constituents and cooperating institutions.

ALO's work under the CA has been largely focused on support of higher education partnerships -- collaborative projects between U.S. colleges or universities and similar institutions overseas. To date, ALO has financed 226 partnerships in 59 countries where USAID operates. There are two categories of ALO partnerships: Institutional Partnerships (IPs) and Special Initiatives (SIs). IPs are funded centrally, whereas SIs are funded by Missions or AID/Washington Bureaus and Offices. Overall, the program has involved at least 139 U.S. colleges and universities and 174 higher education institutions overseas. Other activities that have been conducted under the CA include policy roundtables, working groups on priority development issues and, since 2003, technical and advisory assistance.

ISTI Assessment. The goals of the assessment were to assess the accomplishments of the ALO program and to provide recommendations for strengthening long-term strategic cooperation between USAID and higher education communities in the United States and host countries. The assessment team consisted of four senior consultants and two program analysts, who carried out their work between April and October 2004. The team's methodology included a review of relevant documents, a comprehensive survey of 180 partnerships that began between 1998 and 2003, site visits to 34 partnerships in 10 countries, structured interviews with a wide range of stakeholders in the United States and abroad, and two facilitated dialogues with stakeholder groups, one on the partnerships programs and the other on the broader HEC-USAID relationship.

Evaluation Findings: Partnerships

Institutional Partnerships. A key goal of ALO is to promote partnerships and strategic alliances among higher education institutions for development cooperation. The primary means for achieving this goal has been the IP program. The assessment team's principal findings with respect to IPs are as follows:

- Achieving Objectives. IPs aim primarily at change in the overseas higher education institution that will enhance its capability in a sector of interest to USAID. ALO's outreach and selection processes have been effective in attracting and incorporating a large and diverse group of U.S. higher education institutions (universities, colleges, community colleges and historically black colleges) and overseas partner institutions. IPs have been undertaken on a very broad array of topics reflecting the interests and priorities of the key individuals involved. Most IPs achieve their planned results, and many go beyond initial plans to achieve unanticipated positive results. The achievements of many individual IPs are particularly impressive in view of the small amount of USAID resources provided to them.
- *Impact*. Measuring the impact of individual IPs is difficult, and, in fact, little has been done in this respect so far. The team's observations of 34 IPs suggest, however, that many will have or are likely to have significant impact, at least on their immediate environments.
- *Relation to USAID*. While most Missions are generally aware of the ALO program, in many, there is little knowledge of the centrally-funded IPs operating in their countries and, as a result, they do not take full advantage of the possibilities.

Special Initiatives. SIs have several advantages over IPs, including larger budgets, longer terms, and potential renewal. The funding comes from the Missions, which set the priorities and desired outcomes, prepare the scope of work for the request for applications (RFAs), and often select the host country partners. The Missions are also actively involved in planning, implementation, and monitoring.

Overall Partnership Findings. Over the course of its work the team developed a high regard for both the IP and SI programs. Multiple instances were found of projects that achieved or were achieving their objectives and, in many cases, went well beyond their initial scope. The principal shortcoming was the lack, overall, of sufficient integration of partnerships, particularly IPs, into USAID strategic frameworks.

Evaluation Findings: Non-Partnership Activities

The 1997 CA anticipated a wider range of collaboration between USAID and the HEC than that involved in the partnership programs. Fundamentally, these additional activities were designed to increase USAID's direct access to other HEC technical resources to facilitate and support the Agency's work. Work in this area started strongly, and a series of high-level meetings were held between the HEC and USAID in 2000 and 2001 to identify and analyze possible ways to achieve this goal. For whatever reason, interest eventually waned and the meetings were discontinued. These discussions, in large part, were replaced by policy roundtables. So far, five roundtables have been held, all of them

in Washington, D.C. All five were of high quality and were well attended, but in the majority of cases seem to have had limited impact.

The technical and advisory assistance component was present more in concept than reality during the first years of the CA. However, in September 2003, efforts to tap its potential were initiated. Although underway for only a little more than a year, the results are promising and bode well for future initiatives in this area.

Findings: Program Management

ALO management of the program has been of generally high quality, particularly with respect to the partnerships programs. Efforts to develop broader collaboration between USAID and the higher education community have not achieved the desired results, but ALO alone cannot be held responsible for this. ALO has generally maintained a cordial and productive working relationship with the EGAT/ED staff. ALO's relationships with Missions have been more complex. Recent efforts by ALO to be more helpful and responsive to Mission (and AID/Washington) needs appear to have begun to change perceptions.

Findings: Financial Management

ALO and ACE's financial management of the program is of high quality and appears to meet all basic requirements. The team believes, however, that improvements in financial reports would improve both the ability of ALO and USAID to monitor and manage the program.

The team encountered a number of USAID officials who expressed concern about what they perceived to be the high costs of ACE/ALO administration. The team explored this question. It found ALO's direct costs to be quite reasonable. It further determined that indirect costs are based on ACE's approved NICRA rate. Unlike some organizations that have two or more indirect rates that apply to different types of activities (e.g., to direct costs and to subcontracts), ACE has only one indirect rate. It thus applies the same indirect rate to both the direct costs of ALO operations and to the USAID funds provided to the participating university partners. The team found that the application of this rate to Mission-funded Special Initiatives, especially the larger ones, may be a factor in keeping some Missions from utilizing the ALO mechanism. The team believes that this issue should be carefully considered in the design of any future program.

It should be noted in this context that the partnerships have been successful in bringing in a high level of cost share from colleges and universities and their partners. Matching resources often substantially exceed the required levels, and ALO reports that as of June, 2004 matching funds have exceeded \$22 million in vouchered and auditable cost share expenditures, or 116% of the amount expended on partnership programs.

USAID management of the program, while affected at times by work and budget pressures, has been generally supportive and of good quality. Program monitoring has

been conducted according to requirements, although there appears to have been insufficient use of the program data. EGAT/ED staff have worked with ALO on partnership policy and management issues, as well as on policy roundtables and other matters, and have participated regularly in ALO events. The staff has made a number of attempts to publicize the ALO program and to generate financial support from other AID/W Offices and Missions. The relative lack of high-level USAID knowledge of or interest in the program has been a constraint.

Findings: Summary. The team found the ALO partnership programs to be generally successful, sometimes exceptionally so. At the same time, there are significant opportunities for improvement in program impact. The most prominent shortcomings were lack of an overall strategic framework for the programs, insufficient integration of IPs into the USAID programs they were designed to support, and inadequate program evaluation and dissemination of results. The most significant strengths were the ability of university partners to stretch their resources, design innovative projects based on local needs, and build the base for sustainable partnerships and longer-term relationships between the universities and colleges. Another strength is the ability to open the doors to many non-traditional higher education institutions and engage new faculty and students in international development work.

The team's assessment of the non-partnership activities is less positive. While a number of good things have been done, particularly the recent efforts to begin to mobilize at least some of the vast technical and advisory capabilities of the HEC, the overall picture is one of modest achievement.

The public diplomacy value of the partnership programs is high. While this is not generally regarded as an area of USAID responsibility, the program's attractiveness in this regard is likely to have a positive impact on the environment for USAID's work at home and abroad.

The bottom line, from the team's perspective, is that the CA and the programs that resulted have been an overall success and have set the stage for a stronger, more sustained USAID-HEC collaboration in the future. This collaboration will enlarge higher education's contribution to the realization of the nation's international development goals while continuing to benefit the HEC.

Recommendations

General. The team's recommendations for the next phase of USAID-higher education community collaboration are based on totality of the findings and seek to build on the achievements of the current program, while addressing its shortcomings. Also reflected are the team's best judgments as to where the respective agendas of USAID and the higher education community most strongly overlap, which is the most critical factor in ensuring an enduring, productive, and mutually beneficial relationship.

Executive Summary

The core goals are to provide the means, through ALO or its equivalent, for USAID to access a broader range of higher education capacities to help it achieve its objectives and to offer U.S. and host country colleges and universities a wide range of opportunities to participate in national development programs, with corollary benefits to their teaching, research, and outreach programs.

Other goals are to continue to encourage the involvement of new and non-traditional U.S. colleges and universities; leverage USAID resources through cost-sharing and the generation of complementary support from other donors, foundations, and the private sector; ensure maximum sustainability at both the program and project levels; and seek to expand the program by providing a reliable, convenient, and cost-effective channel for other interested funders. Other funders might include other U.S. Government agencies, foundations and the private sector.

General HEC institutional capacity development, either in the United States or in host countries, is not a goal of the proposed program. The strengthening of specific HEC capacities critical for achieving the objectives of a given partnership could be considered on a case-by-case basis.

Program Strategy and Approach

The team recommends that USAID, in collaboration with the HEC, design and launch a new Higher Education for Development Initiative (HEFDI), the overriding objective of which would be to *facilitate and expand U.S. and host country higher education* support for achievement of USAID development objectives.

Four sub-objectives are proposed:

- To support USAID strategic objectives (SOs) through integrated planning, development, and implementation of university partnerships directly keyed to individual SOs
- To involve key host country higher education institutions more directly and effectively in national development
- To facilitate USAID access to higher education advisory and technical assistance to support achievement of Agency objectives
- To assist USAID to develop a new generation of development professionals for service in the Agency.

Program Components. To achieve these objectives the team proposes that HEFDI include the following five program components:

• A New Program of USAID-Generated Higher Education Partnerships. Under this strongly demand-driven component, an annual competition would be held to recruit and select partnership teams to implement activities developed and proposed

by AID/W Bureaus and Offices, Missions, or both. To encourage use of this facility, HEFDI project funds would be employed to match "buy-ins" from AID/W and Missions funds 50-50 up to a maximum of \$200,000 (i.e., EGAT would provide up to \$100,000). Funds beyond the maximum would be provided 100% by the sponsoring unit or units or from other donors. Awards would be eligible for renewal, at the discretion of the USAID sponsor or sponsors, which would again be responsible for funding or finding other sources to cover the full cost. Interested Bureaus and Missions would propose scopes of work consistent with their respective strategic plans, which fall within the broad priorities established for the competition. The administering organization would issue a combined request for applications (RFA) to the higher education community. Partners' proposals submitted in response to the RFA would be screened, evaluated, and ranked by a peer review process similar to the one currently in use.

• A Continued but Redesigned Program of Institutional Partnerships. The second component would be an annual competition to provide a window for a reduced, but still critical number of "at-large" applications from college and university partnerships. As is the case in the current Institutional Partnership program, higher education partners would be free to propose projects of their own choice, so long as they fall under the priorities set for the competition and meet all other requirements of the solicitation. There are two principal reasons for including this component. The first is the desire to continue to increase and further diversify the pool of U.S. higher education institutions with in-country relationships and experience. The second is to continue to tap the energy, creativity and entrepreneurship that has generally characterized these projects in the past.

At-large proposals would be 100% centrally-funded. The award maximum would be increased to \$125,000 and the maximum term to 36 months. Under the new program, at-large projects, as such, would be non-renewable, but would be eligible to receive supplemental awards from Missions. All things being equal, preference would be given to projects involving new partnerships. In order to fully capitalize on future at-large investments and correct problems noted in the findings, the program would be redesigned in important ways. In particular, project development, monitoring, reporting, and evaluation processes for these awards should be revised to increase Missions' involvement at key junctures.

• A Continued Window for Special Initiatives. In addition to the annual partnership competitions, the current window for special solicitations would continue to be available. While it is envisaged that many of the projects now procured by Missions and AID/W through special initiatives would be channeled in the future through the new USAID-driven partnerships program, it is anticipated that initiatives that are not a good fit with that component will continue. Included might be projects to provide research and analytical support to AID/W Bureaus of Offices; Mission partnership proposals that for substantive, size, or timing reasons are judged to require a special solicitation; and a possible program or programs to assist USAID to recruit junior development professionals. The special solicitation window also would provide a

convenient means for other U.S. Government agencies, foundations, the private sector, and other funders to access the same higher education resources as USAID.

- A Strengthened Program of Technical and Advisory Services. The fourth component would be a substantially stronger program to provide USAID access, as needed, to higher education advisory and technical assistance resources. This would be accomplished via the creation of a capacity in ALO to provide USAID with flexible, on-demand technical and advisory services for such purposes as planning and design of higher education inputs into Bureau and Mission SOs (including partnerships), monitoring and evaluating the impact of such inputs, identifying and analyzing new and cutting edge development issues, and such other technical and advisory tasks as may be defined by the Agency.
- A New Component to Assist USAID with Recruitment of a New Generation of Junior Professionals. This component is included for two reasons. The first is that, reportedly, this is a perceived need on the part of the Agency. The second is that an organization such as ALO or its equivalent would be the ideal mechanism to carry out whatever program of this kind that USAID might decide to implement.

Among the possibilities are a USAID Junior Professional Internship Program (JPIP), a formal USAID Junior Professional Trainee Program (JPTP), or both.

HEC Program Management. The HEFDI Implementation Office (HIO) would be a U.S. higher education organization or consortium, with broad access and high credibility in higher education. It would have responsibility for program management; peer review selection; and marketing, alliance-building, and resource generation. A number of recommendations for improving selected program management systems are provided.

The primary program instrument would continue to be a **cooperative agreement.** In establishing a new program, USAID and the implementing organization should be sympathetic to the shift in focus to give greater emphasis to the achievement of USAID strategic objectives. They also should commit themselves to ensuring that there are fully effective mechanisms in place for monitoring, analyzing, and evaluating program activities and that the system for allocating indirect costs under the program is fair, appears reasonable to potential clients, and does not deter demand.

Program Coordination and Relationships. General guidance and oversight would be provided by a Joint USAID-HEC Advisory Committee (JAC), chaired by the Assistant Administrator under whom the responsibility for the program falls, and including three or four additional members from each of the two communities, with appropriate staff assistance as needed. The JAC would be convened as needed, but at least twice a year, to discuss broad program priorities, review monitoring and evaluation results for their program priority implications, assist with marketing and resource generation, review program modification ideas and recommend appropriate program modifications, and take such additional steps as needed to assist the program. It is foreseen that the program, as outlined in the report, would basically define the relationships between the two parties. It

has been designed to be mutually beneficial in ways that will foster an effective and enduring USAID-HEC development partnership for the achievement of program goals.

USAID Program Management. The USAID office assigned overall responsibility for managing the program would provide general program oversight, conduct and commission monitoring and evaluation programs, deliver field support and information services to all interested USAID units, provide administrative support to the JAC, and coordinate USAID inputs into program planning and budgeting processes. These functions would be performed by a small staff headed by a person with broad experience in the Agency, good familiarity with higher education in the U.S. and abroad, and a strong commitment to realizing the program's goals.

Conclusion. The team is convinced, as a result of its work, that the time is ripe for the development and implementation of the proposed HEFDI. It believes, moreover, that the program, which will build on the successes of the current one but in a way that more firmly anchors it in the shared needs and interests of both USAID and the HEC, will strengthen the relationship in enduring ways and attract resources.

I. Introduction

A. Background

This report presents an independent assessment of Promoting Higher Education Partnerships for Global Development, a program financed by the United States Agency for International Development (USAID) and implemented by the Association Liaison Office (ALO) for University Cooperation in Development. The American Council on Education (ACE) is the fiscal agent for ALO, which is a partnership of six sector-based U.S. higher education associations, including, besides ACE, the American Association of Community Colleges (AACC), the American Association of State Colleges and Universities, (AASCU), the Association of American Universities (AAU), the National Association of Independent Colleges and Universities (NAICU), and the National Association of State Universities and Land-Grant Colleges (NASULGC). These associations, combined, represent some 4,000 U.S. colleges and universities.

The ALO project² is financed under a cooperative agreement (CA)³ signed by USAID and ACE in September 1997. The authorized level of funding is just under \$72 million. As of early August 2004, USAID had obligated \$59 million under the CA and 25 subsequent modifications. USAID has extended the program so that ALO can make new sub-awards to participating universities until September 2005 for programs that will be fully implemented by September 2007. (A fuller discussion of program finances appears in Section II, C, 3.)

Goals of the ALO Program. The CA provides financial support to the American higher education community to facilitate its working in partnership with USAID. That collaboration is intended to support the achievement of USAID's strategic objectives, provide support to higher education institutions in USAID presence countries (host countries) to strengthen their roles in addressing development problems, and increase the attention given to international development issues on U.S. campuses and by constituents and cooperating institutions.

Additionally, the program is intended to achieve the following objectives:

- Collaboratively address an array of complex social, economic, and educational development problems and issues
- Strengthen their respective capacities for conducting the educational missions of teaching, research, and service to address development priorities, including the improvement of basic education and the reform of higher education
- Contribute to the preparation of a responsible citizenry and a skilled workforce engaged in a global marketplace
- Increase the attention to and understanding of international education and development issues on U.S. and host country campuses and among institutions' constituencies

² The program is generally referred to as "the ALO program" rather than by its formal name. This report will follow that custom.

³ Cooperative Agreement HNE-A-00-97-00059-00.

• Disseminate information and share results of development cooperation both abroad and in the U.S.

Program Activities. The CA and subsequent modifications⁴ define the following key program areas:

- *Networks*. USAID—Higher Education Community partnership activity (networks, partnerships, and pilot activities for Missions and regional Bureaus) that reflect emerging policy and technical solutions to development problems
- *Partnerships*. Academic and technical training, imbedded in institutional partnerships, at U.S. colleges and universities
- Policy Roundtables. Policy and program roundtables that can afford PPC, LPA, and regional Bureaus opportunity to engage in policy dialogue on emerging development issues and cutting edge knowledge and practice to address these issues
- Workforce Development Pilots. These were intended to be partnerships between higher education and industry, drawing on such collaboration in the U.S., to promote models of education and training that will contribute to a productive workforce.
- *Advisory Assistance*. Higher education policy, technical, and advisory assistance for Missions and other USAID operating units
- *Information Dissemination*. Synthesis and dissemination of appropriate research and best practices related to the above items

The relative importance of these categories has shifted somewhat over the life of the program. With respect to **Networks**, a recent ALO publication⁵ identifies 12 partnerships as falling within that category. Neither ALO nor USAID now regard Networks to be a separate program category or key objective, but rather as one of many variations present among ALO's 226 partnerships. **Policy roundtables** have been a small part of the overall program. **Workforce development pilots** were undertaken early in the project through U.S. community colleges, but this variation on partnerships, like Networks, has been folded into the general Partnership program. **Advisory assistance** has been limited, although a significant activity is scheduled to begin soon. Although modest in terms of financing, **information dissemination** is an important component. Activities consist mainly of the ALO Website, a number of annual and periodic publications and the annual Synergy Conference attended by partnership directors from the participating U.S. and overseas institutions. The **partnership** component has dominated ALO's work, and it is correspondingly given the greatest attention in this program review.

ALO's actual work under the CA has been largely focused on university-to-university partnerships. To date, ALO has financed 226 partnerships in 59 countries where USAID operates. Each partnership is a collaborative undertaking between a U.S.

⁴ Modification No. 21 (September 2002) expanded the program to include advisory assistance and dropped workforce pilots as an area of emphasis.

⁵ See the 2004 edition of ALO's publication *Higher Education: Partnerships for Global Development*.

college or university and a similar institution overseas. The program has involved 139 U.S. colleges and universities and 174 partner institutions overseas. (A listing of all involved institutions is included in Appendix C, Partnership Data.)

ALO partnerships are of two types: institutional partnerships (IPs) and special initiatives (SIs). Table A summarizes the differences between these two programs.

Table A
Characteristics of ALO Partnerships

Characteristics	Institutional Partnerships	Special Initiatives
Who (what	The university partners,	USAID Missions or the
organization)	subject to competitive	Washington technical office
determines the overseas	selection by an ALO peer	financing the program indicate
venue and program	review group; programs can	where the program is to
content	be in any country in which	operate, the purpose and the
	USAID operates and must be	major activities to be
	broadly consistent with	implemented, and may identify
	USAID interests	the local university partner
Relationship to USAID	Within broad areas of USAID	Designed to contribute directly
SOs	interest	to an SO
Size and length of	Usually \$100,000 and two	From \$200,000 to several
awards	years	million dollars
	Grants are not renewable	Can be for 3-4 years
	although no-cost extensions	Mission decides whether grants
	can be awarded	are renewable
Source of USAID	EGAT/ED	Missions or Washington
finance		technical or regional offices
USAID partnership	Little, if any	Considerable oversight
oversight and		particularly for larger
monitoring		partnerships

The resources for IPs, the largest component of the ALO program, are provided annually to ALO by the Office of Education (ED) of USAID's Bureau for Economic Growth, Agriculture and Trade (EGAT). Following the obligation of funds, ALO issues RFA⁷ and makes IP awards through a competitive peer review process. Awards are typically limited to \$100,000 to be disbursed over a two-year period and are non-renewable. In addition to paying for the partnership costs, the award is expected to cover the cost of both partners attending ALO's annual Synergy Conference. The universities themselves are expected to contribute (i.e., match) at least 25% of total program costs, often in the form of faculty salaries and other university expenses not charged to the award. Matching resources often substantially exceed the required levels, and ALO reports that as of June, 2004 matching funds have exceeded \$22 million in vouchered and auditable cost share expenditures, or 116% of the amount expended on

⁶ Some partnerships involve more than one college or university in the United States and more than one institution in the partnering country. Because "foreign" and "overseas" do not have the same meaning from one country to another, the assessment team often uses the term "non-U.S. partners" or "non-U.S. project directors" when referring to the U.S. institutions' partners.

⁷ Until 2002, ALO solicitations were sometimes called Requests for Proposals (RFPs).

partnership programs.⁸ Reflecting the small size of individual awards, institutional partnership programs tend to involve, at each of the partner institutions, a few faculty members who contribute their time to partnership activities while carrying out a full load of teaching, research and administrative responsibilities.

The major sectors of partnership activity are as follows:

- Agriculture/Agribusiness/Animal Science
- Community Development
- Democracy & Governance/Public Policy/Law/Journalism and the Media
- Economic Growth and Trade
- Education
- Environment/Natural Resources Management
- HIV/AIDS
- Internet and Communications Technology/Distance Education
- Population/Health/Nutrition
- Workforce and Entrepreneurial Development

Program focus varies greatly within each of these sectors. Many programs are intended to improve curriculum, to establish new courses or new programs, to improve research and teaching methods, or to establish new centers to help the community or the government solve economic and social problems. An illustrative list of institutional partnership objectives is provided in the text box.

Illustrative Partnership Objectives

- In Uzbekistan, partners established a training center in environmental technology.
- In Romania, partners helped to create a School of Criminal Justice.
- In Tunisia, partners upgraded the skills of computer science faculty.
- In India, partners developed a model for establishing community colleges.
- In South Africa, partners developed and launched a pilot entrepreneurship course.
- In Ghana, partners are improving training programs for the hospitality industry.
- In Peru, partners are investigating the potential to expand production and sales of unique Andean root crops.
- In Mexico, partners established university-based business development centers.

Any accredited U.S. college or university can partner and compete for these awards with any host country university in a country in which USAID operates. While the RFA provides guidelines regarding the issues of priority interest to USAID (which form part of the selection criteria), interested U.S. colleges and universities have great latitude to choose the country, partner, and topic of their choice. To date, ALO has made some 164 IP awards.

⁸ These estimates of matching funds and partnership expenditures include both institutional partnerships and special initiative partnerships.

A special initiative is also a partnership between a U.S. college or university and an overseas academic institution. However, SIs are funded by USAID Missions, Offices, or Bureaus. Some SIs are similar to the IP program, but are limited to a specific geographic area. USAID/Mexico, for example, has created and funded the Training, Internships, Exchanges and Scholarships Initiative (TIES) that provides funding to ALO to finance 35 partnerships between U.S. and Mexican universities. As in the EGAT/ED-funded IP component, the TIES program permits U.S. colleges and universities wide latitude to choose their preferred Mexican partner and to propose a program based on their mutual interests. Similarly, the Office of Health in AID/W has recently funded a program to support U.S. university partnerships with African universities, with a focus on public health and health issues of interest to USAID. In both the Mexico TIES program and the Africa health initiative, interested universities have considerable latitude to choose their partners and the specific program objectives.

More commonly, when a USAID Mission provides resources, it seeks to establish a university partnership to produce specific outcomes that it sees as critical to the achievement of its strategic objectives (SOs). The Macedonia Mission, for example, named the local university it sought to support, the objectives of the assistance, and the types of activities it expected to be carried out. In these SI programs, the venue, the objective, the program, and sometimes the overseas partner are determined by USAID. These SI partnerships are established to complement (and to be complemented by) a series of other USAID investments that share a common goal.

SI awards range in size from \$100,000 to several million dollars, and the length of the implementation period can be as long as four years. They are also potentially renewable. As with IPs, ALO manages a competitive peer review process. ALO reports identify 62 partnerships in 13 countries as being funded by Mission resources. However, perhaps two-thirds of these are Mission-funded programs that, like the Mexico TIES program, have much in common with IPs (i.e., they defer largely to the university partners to define the activities. The number of Missions that have seized the opportunity to define partnership programs so that they are directly supportive of the Missions' respective strategic objectives is still modest.

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⁹ USAID Bureaus and Missions financing Special Initiatives include the Bureau for Africa; the Office of Democracy and Governance (D&G) of the Bureau for Democracy, Conflict, and Humanitarian Assistance; the Bureau for Global Health; the Regional Center for South Africa; and Missions in Bangladesh, Egypt, El Salvador, Ethiopia, India, Macedonia, Mexico, Rwanda, and West Bank and Gaza. In addition, the Missions in Nicaragua and Peru have funded partnership proposals that resulted from the general competition for Institutional Development awards.

¹⁰ The actual list (starting on page 124 of the ALO document identified in footnote 4) includes only 30 partnerships. However, the 30 TIES partnerships on page 125 are also SIs. Several of the small SI partnerships were programs that the universities designed and submitted to ALO under the IP program. As EGAT/ED funding was insufficient to fund them, Missions in several cases were willing to provide the funds.

I. Introduction

B. Assessment Goals

Simply put, the purpose of this program assessment was twofold:

- To assess the accomplishments of the ALO program
- To provide recommendations for strengthening long-term strategic cooperation between USAID and the U.S. HEC, bringing to bear the resources of the higher education community for international development. (USAID's scope of work for this review appears in Appendix A, GEM-ALO Assessment SOW.)

C. Methodology of the Study

The ISTI assessment team consisted of four senior consultants and two program analysts. The senior consultants included Richard Dye (team leader), Maria Nagorski, Peter Pelham, and Gerald Wein. The program analysts were Kristi Mueller and Saba Farzaneh. The team received valuable assistance on the survey development, management and statistical analysis from Alex Short, ISTI data management specialist. (For additional information, see Appendix L, Assessment Team Member Biographies.) The team carried out its work between April and September 2004. The team's methodology is summarized in the following paragraphs. (The team's work plan appears in Appendix B, ALO Cooperative Agreement Program Review Work Plan.)

Document Review. The ISTI team reviewed the CA and its 25 modifications, ALO publications, ALO financial and progress reports, proposals and progress reports on 34 partnerships, and a variety of other documents. (A partial list of publications reviewed appears in Appendix J, Bibliography.)

Meetings with Key Stakeholders. Team members met and interviewed dozens of individuals from USAID and ALO, the ALO Board of Directors and Advisory Council, and institutions implementing similar programs. These interviews served to educate the team about the history of the ALO program, and they provided insights into its strengths and weaknesses. (The protocols that the team used for its various categories of interviews appears in Appendix F, Interview Protocols.¹¹)

Partnership Site Visits and Interviews. With inputs from USAID and ALO staff, the team selected a sample of partnerships to visit and review. The sample was chosen keeping a number of factors in mind. Key characteristics included the type of partnership (IP or SI), the type of U.S. institution (college or university, public or private, etc.), the sector of work, and the year of initiation (to capture completed as well as ongoing programs and to avoid programs that were too new). For the overseas sites, it was important to choose countries that included multiple partnerships and countries in each of the USAID regions.

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¹¹ The team's notes for all interviews were exchanged among the team members and are on file at ISTI. However, to encourage full and candid responses, the team informed interviewees that all comments would be treated as confidential unless they specifically agreed otherwise. Thus, the team's interview notes are not being shared with others.

The sample consisted of 34 partnerships in ten countries, including at least two in each of USAID's geographic regions. It included 25 active projects and nine completed projects and represented all of the above-noted sectors and key areas of interest. The countries included Bangladesh, Ethiopia, Ghana, India, Indonesia, Macedonia, Mexico, Peru, Romania and South Africa. A senior team member was assigned to visit each country. (A list of the partnerships visited appears in Appendix E, Assessment Team Partnership Site Visits.)

Once the sample of countries and partnerships was chosen, the team member assigned to each country reviewed the ALO file material for the partnerships in that country. This material included the partnerships' agreements and the semi-annual progress reports. Team members then arranged to interview the U.S. project directors, either on campus, ¹² in Washington or by telephone. Campus visits typically permitted meetings with additional faculty members involved in the partnership, as well as with administrators and students. The team interviewed more than 50 U.S. college and university faculty members and administrators, and discussed ALO with many other faculty and administrators at the ALO Synergy Conference. (See Appendix G, ISTI Assessment Team Contacts.)

A team member also visited the overseas university site of each of the 34 partnerships in the sample. Those visits afforded team members the opportunity to meet and to discuss ALO with more than 100 participating faculty members and college and university administrators, dozens of students, community leaders, business people, government officials, and workers in collaborating non-governmental organizations (NGOs). The site visits also gave the team an opportunity to meet and interview a number of USAID officials in the ten countries visited. (See Appendix G, ISTI Assessment Team Contacts.)

Survey of Partnership Directors. The team developed an Internet-based survey to reach the U.S. and non-U.S. project directors of the 180 partnerships that began between 1998 and 2003. Notice of the survey was sent by e-mail to all of the U.S. project directors (PDs) and to 158 of the overseas PDs (because some e-mail addresses were not available). The ISTI team developed the survey instrument with valuable contributions from staff at ALO and USAID. Four experienced U.S. project directors tested the draft instrument and provided additional comments that were incorporated.

Overall, the response rate was 48%. This included 100 responses from U.S. PDs (56%) and 62 from the non-U.S. PDs (39%). The survey provided a wealth of quantitative and qualitative information, which the team has incorporated into Section II, Findings. Overall, the survey showed that both the U.S. and the overseas partnership directors are very supportive of the program, feel that they have achieved a great deal, and are very

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¹² An ISTI team member visited each of the following ten institutions: Maricopa Community College District, University of Arizona, University of California at San Diego, San Diego State University, Texas A&M University, Howard University, Virginia Polytechnic and State University, University of Illinois (Champaign-Urbana), Ohio University, and Eastern Iowa Community College District. Additionally, team members were able to meet face-to-face with a number of other U.S. partnership directors and other collaborating U.S. faculty in Washington DC, or at their overseas partner university during the time of an assessment team member's site visit.

complimentary of ALO's management of the program. The good marks partnership directors give to ALO are certainly an important indicator. On the other hand, PDs' assessments of their own planning, implementation and results merit independent verification. This was, of course, one of the team's purposes in making site visits. In large measure, the field visits confirmed the data collected in the survey. This report cites data gathered through both methods, as the team deemed appropriate. (The survey instrument, summary tables developed from the survey and selected comments from respondents appear in Appendix D, Analysis of Web-Based Survey Results—ALO Assessment.)

Survey of Selected USAID Missions. EGAT/ED staff and consultants assisted the assessment team by developing and executing a survey of ten Missions that financed SIs. Five Missions responded, providing important information on the Mission perspective on the larger SI partnership programs.

Facilitated Dialogues. The assessment team conducted two facilitated dialogues involving individuals from the HEC and from USAID. The dialogues afforded the team an opportunity to present some of its preliminary findings, to receive feedback and to explore program options. The first of these meetings focused on the partnership programs. The second, involving the presidents of some of the university associations and a number of senior USAID staff, focused on the broader HEC-USAID relationship. (See Appendix H, Facilitated Dialogues.)

D. Organization of This Report

The remainder of this report is divided into two parts. Section II, Evaluation, includes six subsections: A. Findings: Partnership Programs (Part A)¹³; B. Findings: The Larger USAID-HEC relationship (Part B)¹⁴; C. Cross-Cutting Issues; D. Program Management and Governance; E. Non-USAID Partnership Programs; and F. Summary. Section III. Recommended Future Strategy and Approach includes nine subsections: A. General; B. Program Strategy and Approach; C. Program Components; D. Program Instruments; E. Program Management and Governance; F. Program Coordination and Relationships; G. USAID Program Management; H. Timetable and Transition; and I. Conclusion.

¹³ The Scope of Work (SOW) for the assessment was divided into two Parts; Part A concerned the evaluation of the partnership programs and Part B focused on evaluation of the larger USAID–HEC relationship. Initially, the two parts were to be done sequentially, but after discussion, the team's proposal that data collection on both be done simultaneously was approved. (See Appendix B for the team's Work Plan.)

¹⁴ Ibid.

II. Evaluation

A. Findings: Partnership Programs

1. Institutional Partnerships

A key goal of ALO, examined carefully by the assessment team, is to promote partnerships and strategic alliances among higher education institutions for development cooperation. The primary means for achieving this goal has been the IP program, which has proven to be generally effective in its own terms. The results have been positive in both numerical and qualitative terms, and particularly impressive in the variety and diversity of institutions (universities, colleges, community colleges, historically black colleges) and programs brought in through the outreach and selection process. The principal assessment findings are as follows:

- Objectives of Institutional Partnerships. IPs aim primarily at some change in the overseas higher education institution that will enhance its capability in a sector of interest to USAID. (Of the programs that the team reviewed, a few aim at producing a joint degree program or some similar activity intended to benefit both local development, through training, and academic development at the partner institutions.) The specific objectives tend to be based on a reasonable combination of the overseas partner's perceived needs and the interests and capability of the U.S. partner. In a small number of cases, the objectives seem to have been unduly dominated by what the U.S. partner thought it had to offer. Partnership goals are often ambitious, given the modest level of financing, even taking into account the significant matching from the universities. (A sample of partnership objectives appears in the Introduction.)
- *Meeting Stated Partnership Objectives*. Most IPs are able to achieve planned results and many went beyond the initial proposal plans to expand the scope and achieve

unanticipated results. More than 83% of U.S. and non-U.S. partnership directors responding to ISTI's survey stated that the partnership was very successful or more successful than expected in achieving its stated objectives. While there may be some element of exaggeration in this high percentage, site visits confirmed the general correctness of the conclusion.

Many partnerships exceed planned targets

- Although not anticipated in the partnership plan, the U.S. partner now hosts MBA interns from the overseas partner every summer.
- A partnership program helping a woman's group with goat production has yielded results on family income that far exceeded expectations. The program has expanded fourfold, reaching more families and additional villages.
- A small ALO award for HIV/AIDS control in Kenya grew into a \$20 million project.
- The program created by a partnership in South Africa is becoming a national model for expanding workplace opportunities for the disabled.

• Impact of IPs. Measuring the impact of individual partnerships or the program as a whole is difficult, and, in fact, little effort is expended by the colleges and universities, ALO or USAID in trying to do so. In some ways, this is understandable, as the effect of most partnership programs will probably not be felt until some time in the future, and measurement will be complicated by the myriad of unrelated programs that exist and events that occur. Moreover, given the dollar size of the IPs, efforts to measure impact could cost more than the program being carried out. This notwithstanding, the team would have hoped to find more evidence of efforts to evaluate impacts, at the level of both individual projects and the program as a whole.

The assessment team's observations of 34 IPs suggest that many will have a significant impact within a particular department of the overseas university, on a particular program of the government or in a specific community or region. A few of the programs that the team observed have drawn considerable attention, are being expanded with non-USAID resources, and may have national impact. In general, the effect of partnerships is enhanced when complementary investments are made and the momentum for constructive change continues after the ALO award ends.

• Partnerships as an Effective Development Tool. The team observed that the partnership relationships are typified by talented people working with great enthusiasm, and that these characteristics often enable the partners to overcome

financial limitations, travel and visa restrictions, inertia, and a myriad of other constraints to achieve impressive results. The experience under this program supports the concept that sound alliances with even modest funding can contribute significantly to the development process needs and enhance U.S. higher education's participation in and understanding of global education, partnerships and capacity building.

A Partnership Director describes unexpected benefits:

Our partnership was designed t, develop curriculum and train teachers in order to establish a small undergraduate department of social work. Within the first year, the President of our partner university decided to establish a graduate *school of social work – the only one in that country. The* partnering institutions pooled resource and identified volunteer teachers from Europe and the US to train new faculty, to establish new admissions procedures and to develop curriculum. Over 40 professionals from the International Association of Social Workers volunteered their time, are covering their own travel costs and are working closely with the faculty. NGOs created an alliance to support the school and the students. The Ministry of Education and the University provided a new building, facilities, equipment and a Dean and Assistant Dean. The first class began in September 2004. The ALO grant started this process, bringing the partnering institutions together (which did not have a prior history of working together) and serving as a catalyst for this major change. (Paraphrased comment from a U.S. partnership)

- Planning and Implementing to Benefit Both Partners. Survey responses and interviews highlight the importance of joint work, preferably face-to-face, on the planning and development of project proposals as determinants of partnership success. Partnership directors underscored the importance of designing the program so that both institutions benefit, although the nature of their respective benefits may be quite different. For example, the U.S. institution may gain valuable overseas experience, research opportunities for faculty and students, publications, and possibly talented students for its graduate programs. The overseas university often gains improved curriculum, research methods, opportunities for publication in internationally recognized journals, and a better understanding of and ability to conduct outreach activities, especially support to local development.
- Sustainability of the Results Realized by the IPs. The assessment team's site visits suggest that most of the programs established through the partnerships are likely to continue after the ALO award ends. The interest and enthusiasm of overseas partners does not seem to wane after the ALO award is completed. The evidence, however, is limited, as the team was able to visit only nine completed partnerships, and most of these had ended within the past year or two. (See Section II, C, 2 for further comments on the sustainability issue.)
- The Key Role of Partnership Leaders. The enthusiasm, energy and initiative of individual faculty members can drive the initial success (or failure) of the project and strongly influences the long-term relationships. The team found many examples of faculty members who volunteered time and money, were creative about raising resources, stretching limited dollars, finding donated materials, and engaging other faculty and students in building and sustaining the partnership. This sometimes had an adverse affect on sustainability when a key faculty member left or moved on to another role in the university. More frequent were examples of faculty members who were able to research and find other donors (USAID and non-USAID) or identify new partners and attract key players into an alliance to further the work and build a base for sustainability.
- *Generating Cost Sharing Resources*. IPs are centrally funded, limited to modest amounts of funding and a short period of time, and are non-renewable. Partner
 - universities and colleges take the cost sharing requirement very seriously, and U.S. college and university grants management offices are rigorous about what they are willing to include. Thus, cost shares are real resources reflecting budget allocations or re-allocations. ALO data suggest that it is common for a partnership's matching contribution to

Matching funds often far exceed USAID requirements

In the partnership between the Kabul Medical Institute and Loma Linda University, the matching contribution to the \$124,000 ALO grant amount is \$710,000.

equal or exceed the amount of the USAID/ALO funding.

The assessment team cannot know with certainty what, in specific cases, would have happened with respect to program activities or financial flows in the absence of the partnership. However, interview responses (particularly those with overseas partnership directors) suggest that most of the specific program activities that partnerships are carrying out exist as a direct result of the partnerships (i.e., they would not have been initiated without the ALO program). Initiatives to create new training programs, courses, or research activities, for example, typically grew out of the discussions between the partners.

- The Size and Length of IP Awards. Survey and interview responses to questions about the size of grant were fairly consistent in stating that the amount of money, while small, was sufficient to start up, initiate and test programs and strategies. Many said that ALO grants played a catalytic role and created energy and momentum for more substantive initiatives. There were relatively few recommendations for increasing the grant size. However, there was a good deal of support for lengthening the grant period from two years to three years. Two years was reported as too short, especially given frequent delays in start up, time needed to build trust and bridge cultural divides, and the pace of project implementation in often difficult circumstances.
- Application and Selection
 Process. The IP program is
 highly regarded by the
 participants from the higher
 education community. The
 program's success in generating
 a diversity of responses,
 creativity and flexibility were
 highly praised during interviews
 and meetings with Association
 leaders and with college and
 university faculty and
 administration. They described
 the application process as being

High-level support makes a difference

The president of our university and the rector of our overseas partner university exchanged honorary degrees during our first visit. This cemented a relationship that culminated in a major conference on the University's Role in Community Justice Administration. The Ministry of Justice contributed to conference costs, and the Rector secured the U.S. Ambassador as keynote speaker. Graduation ceremonies were held for the first Master's class at the conference. Our university president was the graduation speaker. (Paraphrased survey response from a U.S. partnership director)

successfully opened up to non-traditional academic institutions, community colleges, technical colleges, historically black colleges and others new to international development work.

The data collected show that the application and selection process is an open and fair competition with a carefully planned and implemented system for evaluating proposals. The peer review system is well thought out, and it receives high marks for transparency and fairness from faculty at participating U.S. institutions, including a number of individuals who had been turned down on awards.

ALO's interest in encouraging applications from colleges and universities with relatively little international experience underscores the need for careful planning and relationship building between the U.S. and non-U.S. partners. Results have been good in partnerships in which the planning process has included sufficient time for partners to collaborate on setting the agenda, identifying needs in local institutions, planning outcomes and writing the proposal. In instances in which the planning effort did not fully involve both partners in a collaborative process, implementation issues and misunderstandings often occurred, causing delays and reduced outputs.

• Relation to USAID. Interviews and site visits to Missions in countries where there are partnerships indicate that most Missions are generally aware of the ALO program, but in many cases there is little interest in or knowledge about the centrally-funded IPs operating in their countries. The main reason seems to be that, like other centrally-funded activities, there is no sense of ownership. As a result, Missions do not take full advantage of the possibilities of these partnerships and do not link them to their SOs and development agendas. The situation is different, however, where a Mission funds an SI. In those instances, generally close partnership linkages exist with Mission programs, staff are knowledgeable, and involvement is substantial.

The visibility of the ALO program within AID/W varies widely. There is a tendency to view ALO as a higher education development program (rather than what it is designed to be, i.e., a program to harness higher education resources to development) and a resulting lack of appreciation for the program's potential. On the other hand, there have been instances, for example, in democracy and governance, agriculture, and health, in which the ALO potential has been recognized and exploited with positive results.

The wide latitude that RFAs for IPs give to interested colleges and universities to propose topics and countries of their own choice encourages creativity and innovation, but it does not tie partnership activities to the strategic direction of the Mission. For the IPs, the universities and colleges identify the priorities and needs, propose an approach and strategy for addressing the development needs and select the country. The needs are, for the most part, identified by the local institutions in collaboration with their U.S. institutional partners. USAID Missions are given the opportunity to review the proposals and concur with the approach. However, Mission staff interviews suggest that such requests for concurrence typically are not given much time or attention. Thus, concurrence is often a pro forma process and should not be taken as evidence that the Mission is really interested, has been involved in the development of the grant applications, or is willing to provide advice and assistance, as needed, during implementation of the partnership.

2. Special Initiatives

Special initiatives have several advantages over institutional partnerships:

- SIs have larger budgets, longer terms and are renewable.
- SI funding comes from the Mission. The Mission sets the priorities and desired outcomes and prepares the scope of work for the RFA.
- U.S. colleges and universities respond to more specific RFAs¹⁵ and often the Mission selects the host country partnering institutions
- The Missions are actively involved in both the planning and implementation phases and are responsible, along with ALO, for monitoring the SI partnerships.

3. Results of Institutional Partnerships and Special Initiatives

A strong majority of partnership directors describe the results of their partnerships in positive terms. The ISTI team found multiple examples of projects that went well beyond their initial scope as both partners increased their involvement, contributions and commitments to each other and to project goals. Many partnership directors gave examples of increased exchanges, new research projects and training significantly more students, faculty or community members than they had originally envisioned.

Some project directors, however, were notably less enthusiastic in their views. A small number of partnership directors described the results of their partnerships as not adequate to meet the local country needs or the expectations of their institutions. In explaining the failure to achieve expected outputs, the most-often cited reason was a lack of joint planning time and insufficient collaboration between the partners in identifying relevant needs, making plans and clarifying roles. A lack of mutual collaboration during the planning or implementation phase apparently led to a lack of trust and an inability to bridge cultural differences. Several of these were partnerships between universities or colleges that had no prior history of working together and that did not have the time or resources to have face-to-face planning meetings during the proposal writing or early implementation phase.

In addition to the direct results of project activities, the ISTI team examined the effects on the partnering institutions and their goals for increasing the capacity of the institutions to engage in international development, in both the short and long runs. Seventy percent of survey respondents indicate that their

Increasing university involvement in the community

"This partnership has given students and faculty an opportunity to apply their theoretical notions of social change, while giving the local community an opportunity to incubate their ideas to enhance the quality of their lives." (From a survey respondent)

partnerships have substantially improved the capacity of the non-U.S. university to prepare its faculty, administrators and students to contribute to economic and social

¹⁵ The Mexico TIES program is something of an exception in that it gives interested universities wide latitude to propose what they wish to do. In this sense, the TIES program is similar to the worldwide IP program, except it is limited to Mexico.

development. Further, 61% of respondents reported substantial improvements in the capacity of the non-U.S. universities' ability to engage in research, training programs, and other outreach activities. (See Appendix D, Analysis of Web-Based Survey Results—ALO Assessment, Questions 4.a and 4.b.) Survey comments indicate that many host country universities are now able to cite increased faculty and student involvement with governments, NGO's, business and industry. Interviews with partnership directors suggest that increasing the capacity of the overseas universities is often the key motivating factor behind their efforts.

Similarly, the program's partnership activities are contributing to increased capacity and attention to international development issues on U.S. campuses and, in many cases, the surrounding communities. Among survey respondents, 57% judged the impact on the U.S. colleges and universities to be substantial; another 35% saw some impact. (See Appendix D, Analysis of Web-Based Survey Results—ALO Assessment, Question 4.c.) Several U.S. directors pointed to new departments (African Studies, International Tourism), study abroad programs and more faculty members engaged in international development work. Some of the smaller colleges spoke of being able for the first time to have international development as a core part of their curriculum. They described being asked to present papers at major conferences and to participate in new international opportunities. For them, the ALO program has made some major changes possible. In other, often larger, institutions, the impact tends to be smaller. Some institutions reported only a few faculty members and graduate students involved in the project and no visible support or engagement beyond this small group.

4. Building Successful Partnerships

The keys to sustainable partnerships most often mentioned by interviewees are these:

- Building trust between individuals and between institutions. This is helped by building strong personal ties between individual faculty members on both sides of the partnership.
- Taking the time needed to build trust <u>before</u> designing and implementing projects. This is especially true for partners who had little or no prior relationship or history of working together.
- Closely related is the importance of cultural sensitivity and learning about each other's customs and practices before trying to work together on project activities.
- Shared, mutually beneficial agendas (i.e., clear benefits for all partners of engaging in the partnership).
- Possibility of long-term outcomes such as developing in country graduate programs, access to U.S. graduate faculty and resources, U.S. graduate students internships or study abroad, on going research projects.
- A strong contributing factor mentioned by many partnerships is obtaining highlevel university support. This type of visibility and support was mentioned as important to achieving the partnership results, but most critical for future sustainability.
- A theme heard frequently during site visits was that communication is essential during all phases of the project.

Good Communication is Critical

"We were successful because we maintained good and ongoing communication between our institutions. This requires face-to-face contact and frequently finding other ways to keep in touch regularly."

(Comment from a partnership director)

The biggest hurdles in the planning process seem to have been caused by communication problems in the non-U.S. countries and by time constraints in pulling the proposal together. Because some non-U.S. partners did not have email or reliable phone lines, the planning process required a lot of patience and a long lead time to get things done.

5. Future Program Design Issues

During the dialogue meetings conducted by ISTI with the HEC and USAID, there was discussion of the partnership programs findings and the important program design issues to address. Several themes emerged as the dominant issues. These are discussed below. (See also Appendix H, Facilitated Dialogues.)

Integration of Partnerships into USAID Strategic Frameworks

One of the issues generating the most discussion relates to the goal of bringing ALO partnership programs into a closer relationship with host country Mission's specific development agendas (strategic frameworks, in USAID parlance). Restructuring the programs to accomplish this is widely recognized as a necessity. But it is not fully clear how to do it and still retain the energy, innovation, and flexibility that characterize the current program. Nor, is it clear how to persuade the Missions that the change is in their interest, given the many pressures under which they operate and the extra work that would be entailed.

One way to resolve the problem is through greater involvement of Missions in the early planning and development of the projects. Another is to provide them with more and better information as the project progresses. A third is to involve them in the evaluation process, especially formative evaluation.

Of course, success will require the participation of both parties. The assessment identified a number of apparently very successful IPs that were initiated by the partners addressing real development needs in the country, which Mission personnel were not currently thinking about. The Missions, thus, were unable to help the team judge whether they are as successful and important as they appeared to be. The real issues are not whether the team's judgment is correct or whether or not the Mission's lack of information was justified, but rather what steps can be taken in the future to make certain that this information gap is eliminated.

Numbers and Length of Grants

The number, size, and length of partnership grants have already been described as key design points. The experience of ALO partnerships suggests a need to seriously consider lengthening the terms of the grants to at least three years to allow for appropriate start up and planning by partnering institutions. Although the dollar size of awards appears to be sufficient when strictly viewed as seed money, making enough dollars available to enable projects to reach the desired results would seem to be a wise investment. Another issue is whether there should be an opportunity, in cases of exceptional performance and results, for selected projects to be renewed at least once.

Higher Education Community Capacity Building

The question exists whether or not capacity building for the HECs in the U.S. and abroad should be a priority goal of the program or, as is now most often the case, a collateral (albeit important) objective. If it is to be a priority, the CA would need to be substantially revised to include appropriate policy guidance and criteria for activities under this heading and additional funding most likely would be needed. If it is not a priority but nevertheless a desirable outcome, the parameters need to be well understood by all parties.

Annual Synergy Conference

The ALO conducts an annual Synergy Conference, which all active projects are expected to attend with representatives of both partnering institutions. Interviews and data clearly show the benefit of this conference in terms of networking, information sharing and lessons learned. Partnering institution in the non-U.S. countries tended to be most complimentary of the conference and its benefits for their institutions and capacities. Despite the many positive comments, many of the team's interviewees and survey respondents suggested that changes be considered in the design and use of the conferences to make them more of a tool for achieving program objectives. Among the latter were suggestions for smaller regional or sector-based conferences (or both), a greater focus on identifying, compiling, and communicating best practices and lessons learned and on capacity development activities of importance to the higher education partners.

Another suggestion was to use the conference as an opportunity for increased marketing and visibility for higher education institutions, using media exposure and visits to congressional and USAID leaders to tell the story of the partnerships and their development impact.

Finally, a frequently mentioned concern was the high cost of the conference and the requirement that partners take money away from program activities to cover travel and conference costs. The suggestion was frequently made that a separate budget be set aside to cover the conference costs and that an effort be made to reduce the high cost of travel and hotels.

B. Findings: The Larger USAID-Higher Education Community Relationship

1. Non-Partnership Activities

The 1997 CA anticipated a wider range of collaboration between USAID and the HEC than that involved in the partnership programs. Fundamentally, these additional activities were designed to increase USAID's direct access to additional HEC technical resources to facilitate and support the Agency's work.

It was expected, for example, that ALO would be a prime source of cutting-edge expertise to assist USAID in defining and analyzing new or emerging development issues. It was anticipated, further, that ALO would assist USAID to tap the knowledge and skills of the higher education community to meet specific, ongoing program needs in areas where other available technical support was insufficient. Program components available to ALO and to USAID under the CA to facilitate this broader collaboration included policy roundtables, joint working groups, technical and advisory assistance arranged through ALO to meet needs identified by USAID, and ALO assistance in the collection and dissemination of information relating to the effectiveness and impact of the ALO program and potentially other USAID programs.

The results of these non-partnership activities are assessed below.

USAID-HEC dialogue on development issues

This component started strongly. ALO organized a series of high-level meetings between the HEC and USAID in 2000 and 2001 to increase collaboration between the two communities. These meetings drew together impressive groups of people. Reports of those meetings suggest that the participants were committed to and enthusiastic about building a stronger HEC-USAID collaboration.

A number of cross-cutting strategies and program areas were identified in which there was believed to be a nexus of USAID and HEC interests. These included research applications for development and "knowledge-based programming," human capacity development and training, and information technology, focusing these endeavors on agriculture and economic growth, poverty reduction, knowledge generation and transfer, management of water resources, trade and investment, and HIV/AIDS. The higher education community hoped that, among other actions, USAID would create a special office for university relations, expand the Board for International Food and Agriculture Development (BIFAD), and carry out other measures to give the HEC a larger voice in USAID, including in the formulation of development strategies. USAID interest seems to have waned. In any case, these meetings did not lead to significant collaborative activities or to fundamental changes in the relationship. Subsequently, the main focus was on the use of policy roundtables, conceived of as a way of bringing university expertise to USAID on important development issues.

Since the initiation of the current CA in the last quarter of 1997, five roundtables have been held, all of them in Washington, D.C., which brought HEC and USAID staff and

experts together to discuss selected issues.¹⁶ All five were of high quality and were well attended, but in the majority of cases they reportedly had limited impact, defined as a systematic effort to use the roundtable results to influence policy, disseminate research, upgrade Agency skills and knowledge, or other long-term outcomes.¹⁷ One reason for lack of impact was the absence of any organized follow up. Another was that, by and large, representation from USAID was at the working rather than policy level. Participant assessments provided at the conclusion of individual events were generally favorable.

Policy roundtables were held regularly under the previous USAID-ALO cooperative agreement, with six programs conducted between 1995 and 1997. Three of those roundtables were regional, hosted by leading universities in Indiana, Louisiana, and Washington State. Two of those roundtables focused on program assessment, analysis, and monitoring and evaluation issues.

Technical and Advisory Assistance

This component was present more in concept than reality in the first years of the CA. However, in September 2003, an important effort to tap its potential was initiated. ¹⁸ Although underway for only a little more than a year, it has already produced a number of positive results. Valuable assistance has been provided to interested Missions, Bureaus, and technical offices in designing partnership programs. Recently, the scope of work under this rubric has been expanded to include assistance to USAID/DG in designing a solicitation for HEC expertise to support its efforts to measure program impacts and derive insights for strengthening future programs. A suggestion that ALO develop an electronic database of the HEC's technical and other development-related capacities to help USAID take advantage of this component is under consideration.

Collection, Analysis, and Dissemination of Program Data

Significant results along this line have been achieved. The team believes, however, that much more could have been done. Activities to date consist mainly of the ALO Web site, a variety of publications, and the annual Synergy Conferences attended by partnership directors from the participating U.S. and overseas institutions.

The website and the publications are available to anyone, and it is difficult to know precisely who is being served. Certainly, participants in the partnerships appreciate these activities, and a broader audience at the participating colleges and universities also find them useful. Neither the website nor the publications provide a great deal of information

¹⁶ A sixth roundtable, "Change in Political Parties," is currently being designed for a new ALO client, the Office for Democracy and Governance (USAID/DG/EPP). The purpose of this roundtable is to increase that Office's understanding of the incentives for change or stasis in how political parties fulfill their democratic functions and of the process through which political parties become more competitive and representative.

¹⁷ The principal exception is the Roundtable on Collaboration in Distance Education, in October 2002, which resulted in a valuable and widely disseminated report, and which reportedly has had significant impact.

¹⁸ See cooperative agreement modification #23.

about lessons learned, innovative approaches tested, or the analysis of emerging development priorities. However, they may lead interested users to other websites or to contact the partners for more technical information.

The Synergy Conferences are primarily targeted at the participants in the partnership activities. As far as evaluation and learning are concerned, their primary function has been to provide opportunities for partnership leaders to exchange information and experiences, not to systematically collect, analyze, and disseminate partnership lessons learned and best practices.

The conference reports for 2002 and 2003 indicate that 25–30 USAID staff members attended one or more sessions and presumably increased their knowledge of the program and individual partnerships. However, the Synergy Conferences are not specifically designed to inform or influence USAID staff. Nor have they been used as occasions to inform Congress of program activities.

In sum, while a good deal of value has been achieved under this component, there is need and potential to do much more. In this respect, the focus should be ALO program evaluation, including stronger efforts to gather and disseminate lessons learned and best practices and to provide more and better information regarding the program's considerable accomplishments to the Congress, USAID leaders, and others.

2. Future Program Design Issues

In the team's view, two key issues need to be resolved if a stronger USAID-HEC relationship for the future is to be developed:

- What are the best ways to ensure that productive and sustained collaboration between USAID and the HEC takes place? The findings suggest that the main need is the development of a mutually beneficial set of program activities, the implementation of which will give meaning and purpose to the relationship, rather than to focus on dialogue and collaboration in the abstract.
- What kinds of programs will create sufficient common interest between USAID and the HEC on which to build this kind of effective and enduring collaborative relationship? The findings suggest that programs that focus on helping USAID achieve its development objectives in multiple sectors and in the process provide challenging opportunities for participation and a measure of related capacity building by colleges and universities in the U.S. and host countries, will provide that bedrock of mutual interest.

C. Cross-Cutting Issues in the ALO Program

1. Quality Assurance, Performance Monitoring and Reporting

The assessment found that the methodologies and mechanisms for quality assurance, performance monitoring, and reporting have been reasonably adequate at the level of the individual partnerships but inadequate for the program as a whole. In other words, rigorous, systematic, formative and summative program evaluation appears not to have been a priority for either ALO or USAID. The team believes that the program, which as noted, has accomplished a great deal, would have been even more successful had such a system been in place.

Individual partnerships, as part of the selection process, are required to have monitoring, reporting, and evaluation plans. These, in turn, incorporate a series of standardized reports and indicators developed by ALO and USAID, which provide an element of comparability among the various partnerships. The team found a high degree of compliance with these requirements. However, the value of the data for program evaluation is limited, due to the de facto great differences among the projects and the inability of the standardized monitoring system to capture them. Moreover, few partnerships were found that had their own, independent evaluation systems.

Although there is considerable exchange of information among individual partnerships, collection, dissemination, and utilization of lessons learned and best practices is more anecdotal than professional, more personal than formal. Partnership reports are read by program associates and others at ALO but are not widely disseminated or analyzed for external use, nor are they put on the ALO website for the benefit of other stakeholders.

There seems, as well, to be little dissemination of reports to appropriate USAID officials and others who might have a need to know (including the Missions in countries where partnerships are underway or, perhaps, concluding). The situation within USAID Missions often exacerbates this problem; information is not always shared with everyone who might be interested, and frequent staff turnover results in reports ending up on the wrong desk.

Similarly, there is sometimes a lack of communication within partnerships. ALO generally does not communicate with the overseas directors, leaving that function to the U.S. project directors. Where there is clarity on a partnership's objectives, sound data and feedback result; where there is less congruence between the two partners (which may arise from ill-prepared, hurried, or inappropriate partnerships on topics identified by the U.S. institutions), less is learned and disseminated.

As noted earlier, ALO's annual Synergy Conferences provide the program's best opportunity to share lessons learned. At the 2004 conference, the first-time film competition provided a brief but welcome glimpse into implementation issues and substantive outcomes. But generally, the conferences underutilize the opportunity for comparing and analyzing the wide variety of experiences thus shared to find the commonalities and process them as aids to designing future partnerships.

2. Sustainability of the Partnerships

Although it is not stated as a specific objective of the program, all the major stakeholders (USAID, ALO, the U.S. higher education associations, and both the U.S. and the overseas colleges and universities) share a desire to see the partnerships sustained over the longer-term. Long-term collaboration offers opportunities for a continuing transfer of technology and collaboration, and more of the same types of development and institutional development benefits that are produced during the period of the ALO support. Moreover, longer-term relationships offer "public diplomacy" benefits, which are certainly important to the United States and perhaps to the partner countries.

The assessment team's data on this issue come from the survey of partnership directors and from site visits. Survey responses of partners engaged currently in active ALO projects indicate that almost all believe that their relationship will continue after their ALO award ends, with 85% indicating that they expect that relationship to include joint activities. (See Appendix D, Analysis of Web-Based Survey Results—ALO Assessment, Question 28.a.) Most expressed a strong interest in continuing and sustaining the successful project work. Several partners who had worked together in prior years expressed confidence that they will find other resources to continue their work.

Survey responses from partnerships in which the ALO awards have been completed provide an opportunity to determine whether relationships are in fact sustained. Those responses show that 94% continue communications with their partners, and almost two-thirds (65%) continue to collaborate on some joint activity. (See Appendix D, Analysis of Web-Based Survey Results—ALO Assessment, Question 28.b.) The assessment team believes that 65% is a high rate of continued collaboration (although that rate is 20% lower than expectations of partners still implementing their programs). The high rate of continued collaboration probably reflects the fact that many partnerships were established long before the ALO grant. Further, that ALO support for most institutions ended only recently may mean that rates will be considerable lower after a few more years have passed. It would be interesting to monitor this question over a longer period of time.

Site visits confirmed that the partners in many of the completed ALO partnerships do continue to communicate and often to collaborate on joint activities. In some cases, new project activities have been started, building on the relationships established during the initial ALO grant period. Funding is always an issue. Sustainability is generally a greater challenge for the IPs, which in comparison to SIs are typically smaller, less well integrated into USAID strategies, and less likely to receive additional USAID funding. Continuing substantive collaboration is difficult without additional funding or strong support from university or college leadership. In several instances, local universities were waiting for some additional funding or initiative in order to follow up their initial work. A number had submitted applications to ALO for new projects, with mixed success.

Success in obtaining follow-on financing is partly a function of experience. A number of the overseas universities and the U.S. colleges and universities with little overseas experience suggested that ALO might provide assistance in helping partners to identify

sources of follow-on financial support. Specific suggestions included having ALO provide written guides on where and how to acquire funds and using the Synergy Conferences for making contacts between university partners and potential funders.

3. Program Finances

Sources of Funds

USAID Resources. As of early August 2004, USAID's authorized level of funding for the program was about \$72 million, an increase of 154% from the initial level of \$28.3 million. ¹⁹ Of this total, approximately \$59 million had been obligated. Of the latter amount, AID/Washington offices had provided a total of \$36.2 million, or 61.5% of total obligated resources. EGAT/ED, the most important single source of funds, provided \$29 million (49.3%). (See Appendix K, USAID Sources for ALO Funding.) However, EGAT/ED's share has declined somewhat over the course of the program, partly because other USAID offices have stepped forward and partly because EGAT/ED has experienced sharp budgetary constraints. As indicated above, EGAT/ED fully finances the competition for IPs.

Other AID/W technical offices and regional Bureaus provided a total of about \$7 million, or 12.2% of total obligations, for SIs that reflect their specific program interests. Other parts of USAID offering financing include the Bureau for Global Health, the Office of Agriculture in EGAT, the Office of Democracy and Governance, the Bureau for Africa, and the State Department's Middle East Partnership Initiative. Contributions from Washington offices were particularly important in 2003 and 2004, suggesting a possible trend.

Most SI funding comes from Missions. Mission funding to date has totaled about \$22.7 million, 38.5% of obligated resources. These monies came largely from nine Missions. Mexico and Rwanda provided more than half the total, and Bangladesh, Egypt, El Salvador, Ethiopia, India, Macedonia and West Bank/Gaza provided most of the remainder.

The assessment team believes that diversity of USAID funding sources is important to this program for several reasons. First, given the limitations of the EGAT/ED budget, the program would clearly not have grown to its current size without those other sources. Second, the "buy-ins" from these other USAID missions and bureaus demonstrate that ALO can be an attractive mechanism to USAID offices seeking innovative ways to achieve their strategic objectives. It is important to emphasize that it is the ability of the

¹⁹ The authorized level was increased first by \$13,676,424 in Modification 21, dated September 30, 2002, and then subsequently by \$30 million in Modification 23, dated September 30, 2003.

²⁰ The assessment team noted during the period of its work that USAID was experiencing considerable difficulty in finding adequate resources to maintain program levels. This problem was particularly acute for EGAT/ED, whose resources fund the competition for IP awards. ALO and USAID were actively discussing the possibility of there not being adequate funds to hold a competition in 2004. This problem, which USAID staff believe will worsen in future years, underscores the importance of marketing the program to other USAID offices and possibly to other funding sources.

USAID clients to determine the partnership's objectives, the overseas venue, and (if they wish) the overseas partner that makes this mechanism attractive to many of these USAID clients. Conversely, there has been relatively little interest outside of EGAT/ED in the IP program, which allows these decisions to be made by the colleges and universities.

The ALO and EGAT/ED staffs deserve credit for attracting this additional demand. However, to date, only 14 out of some 70 USAID Missions have used this mechanism. Mission personnel tend to think of ALO only in terms of the IPs—higher education institutions conducting collaborative programs that are, at best, only loosely tied to USAID strategic objectives. Missions are generally not aware of the SI window and the possibility of using ALO as a potentially important mechanism for achieving Mission objectives.

Cost Share. The ALO partnership programs generate significant cost sharing. University and college partners are required to provide not less than a 25% cost share; many have provided more. ALO has informed the team that they have records documenting cost sharing to June 2004 of approximately \$22 million, or about 75% of expenditures of USAID funds on all programs and about 116% of the USAID/ALO funds awarded to the colleges and universities. This contribution is largely from the participating colleges and universities, much of it, reportedly, in the form of faculty time, travel, tuition, and indirect costs. In addition, ACE has informed the team that its contribution in staff costs to the program in the past year was approximately \$81,000.

Uses of Funds

Expenditures by Type of Program. The CA and its subsequent modifications show a budget plan divided into the results, shown in Table B. Because there is no separate budget for staff or other direct costs or for indirect charges, planned expenses for these items are clearly incorporated into the various results.

Table B
Authorizations as of September 30, 2003

CLIN 1	Activity/Program	Authorized*	%
Result 1	Networks	\$12,000,000	17%
Result 2	Partnerships	\$54,411,424	76%
Result 3	Policy Roundtables	\$940,000	1%
Result 4	Workforce Pilots	\$2,200,000	3%
Result 5	Diffusion: lessons, results	\$2.050,000	3%
Result 6	Higher Ed. Policy &	\$357,000	<1%
(Mod 21)	Tech. Advisory Services		
	Totals	\$71,976,424	100%

^{*}Authorized and obligated levels based on modification 23, September 30, 2003.

ALO is not required to report to USAID on expenditures by these (or by alternative) program categories, so it is impossible to show expenditures against these planned figures. The team's interviews with ALO and USAID officers suggest that the program has essentially dropped Networks as a separate program, and that the level of expenditure on those partnerships is only a fraction of the \$12 million authorized in Modification 23

for that line item. Some partnerships are identified as Networks (partnerships with two or more primary partners) in ALO's annual publication on partnerships, but the factors that distinguish some of the partnerships listed from others are not clear²¹, and virtually all partnerships involve the establishment of stakeholder and knowledge networks. The partnerships component (including the associated staff and overhead costs) probably receives more than 90% of total resources.

Expenditures by Function. The ACE/ALO accounting system provides data on the amount of USAID resources provided to universities for partnerships, provided to ACE for support services (indirect costs), and expended on dozens of direct expense categories. It does not summarize direct expenses into meaningful categories that would facilitate analysis and review by ALO managers, the ALO Board, or USAID. However, in response to this assessment, ALO and ACE were able to divide ALO direct costs (exclusive of sub-agreements for university partnerships) into categories of "other programs" and "management." Table C1 summarizes expenditures by these four major categories by fiscal year.

Table C1
ALO Program Expenditures of USAID Resources, by Category and Fiscal Year
(In thousands of U.S. dollars)

	2004*	2003	2002	2001	2000	1999	1998	Total	%
Partnerships	4,403	5,577	4,526	2,943	1,025	580	0	19,054	64.5%
Other Programs	148	221	206	146	146	67	43	977	3.3%
Management	702	798	757	727	508	504	366	4,362	14.8%
Indirect Costs	1,090	1,399	1,188	784	358	238	86	5,143	17.4%
Totals	6,343	7,995	6,677	4,600	2,037	1,389	495	29,536	100.0%

Source: ALO *Fiscal year 2004 is represented by actual costs as of June, 2004.

Table C1 shows that sub-agreements with universities for partnership programs used \$19.1 million, or 64.5% of the USAID funds expended. ALO estimates that almost another \$1 million expended by the ALO staff was used to finance other program activities, bringing total program expenses to a little over \$20 million, or two-thirds of total USAID resources expended to date. Direct costs of program management (staff, travel, meetings, etc.) absorbed about \$4.4 million (14.8%), and indirect costs absorbed a little more than \$5.1 million (17.4%).

Table C2 provides information on total program costs, including both USAID and reported cost sharing. These data show that the amount devoted to partnerships (partnership awards with USAID resources plus university cost sharing) totals \$41.1 million, or almost 80% of total program resources. Viewed from the perspective of total resources, ALO management and indirect costs as a percentage of the total are about 18.4%. A more complete analysis, of course, would also take into account the

²¹ This statement is based on interviews with ALO and USAID personnel. The assessment team is not aware of any written agreement confirming the parties' agreement. It is not clear why USAID's

cooperative agreement modifications continued to increase the Networks line item if this component was not being implemented.

universities' management and overhead charges. However, data on those charges are not available.

Table C2
Total ALO Program Expenditures, by Category and Fiscal Year
(In thousands of U.S. dollars)

	2004*	2003	2002	2001	2000	1999	1998	Total	%
USAID Contribution	6,343	7,995	6,677	4,600	2,037	1,389	495	29,536	57.3
Partnership awards	4,403	5,577	4,526	2,943	1,025	580	0	19,054	36.9
Other Programs	148	221	206	146	146	67	43	977	1.9
Management	702	798	757	727	508	504	366	4,362	8.5
ACE Indirect Costs	1,090	1,399	1,188	784	358	238	86	5,143	10.0
Cost Share	3,757	5,943	5,215	2,650	1,061	3,444	0	22,070	42.8
Totals	10,100	13,938	11,892	7,250	3,098	4,833	495	51,606	100.0

Source: ALO *Fiscal year 2004 is represented by actual costs as of June 2004.

Costs of Special Initiatives. The nature of the ALO program, particularly the fact that it includes several hundred sub-awards that need to be monitored and to which funds need to be disbursed, suggests that supporting mechanisms necessarily entail considerable expense. It is becoming increasingly clear, however, that ALO costs are not perceived as acceptable to Missions wishing to use ALO to establish large partnership programs. Two Missions, in Macedonia and Rwanda, reportedly recently decided, largely on the basis of cost, not to continue using ALO to manage partnerships in their countries.

To better understand this issue from the Mission perspective, the assessment team reviewed the funding arrangements for those two programs. The results are summarized in Table D. (Macedonia figures are based on planned rather than actual costs.)

Table D
Cost Analysis of Two Large ALO Special Initiatives, USAID Resources Only

		Rwan	da	ĺ	Mace	donia
	Funding \$000	% of Total	% of University sub-award	Funding \$000	Total (%)	% of University sub-award
U.S. University						
Sub-award	3,879	78.4	100.0	2,325	77.5	100.0
Direct Program Costs	3,095	62.6	79.8	1,859	62.0	80.0
Univ. Indirect Cost						
Charge	784	15.9	20.2	466	15.5	20.0
			% of ACE/ALO	Funding \$000	% of Total	% of ACE/ALO
ACE/ALO	1,067	21.6	100.0	675	22.5	100.0
ALO Direct						
Management	194	3.9	27.7	154	5.1	22.8
ACE Indirect Costs	873	17.7	72.3	521	17.4	77.2
Total Costs	4,946	100.0		3,000	100.0	

Source: Assessment team analysis based on ALO data. Prepared: Oct. 12, 2004

Table D shows that, for these two large Mission "buy-ins," using the ACE/ALO mechanism costs the Missions about 22% of the budget. A comparison of this table with Table C1 shows that ALO costs as a percentage of the USAID budget are significantly lower for these large programs than is typical for the project as a whole. This reflects the fact that ALO direct management costs do not increase proportionally to the dollar size of the program, and ALO has made it a practice to carefully project those costs for SIs and to charge the Missions accordingly. However, ACE indirect costs are charged on the entire SI, including the funds included in sub-awards. Missions see this indirect cost charge (\$873,000 for Rwanda and \$521,000 for Macedonia) as a very large tax on their programs, particularly painful as they also pay the universities' indirect rates. The sum of ALO costs and the universities' indirect cost charge totals about 38% of the USAID budget allocation for these programs. This is the source of the Missions' concern.

ALO and ACE correctly point out that the resources going to these partnership programs also include the cost sharing provided by the university partners. Table E shows what happens when those contributions are taken into account. ACE/ALO costs as a share of resources falls to between 17% and 19%, and, assuming the cost sharing is all directed to partnership activities, the share of resources expended directly on program activities increases.

Table E
Cost Analysis of Two Large Special Initiatives, Including Matching Contributions

		Rwand	la	Macedonia				
	C		% of University Sub-award	Funding % of \$000 Total		% of University Sub-award		
ALO Sub-award to								
Univ.	3,879	61.7	100.0	2,325	64.9	100.0		
Direct Program Costs	3,095	49.2	79.8	1,859	51.9	80.0		
Univ. Indirect Cost								
Charge	784	12.5	20.2	466	13.0	20.0		
			% of ACE/ALO			% of ACE/ALO		
ACE/ALO Costs	1,067	17.0	100.0%	675	18.8	100.0		
ALO Direct								
Management*	194	3.1	27.7%	154	4.3	22.8		
ACE Indirect Costs	873	13.9	72.3%	521	14.5	77.2		
Total USAID/ALO								
Costs	4,946	78.7		3,000	83.7			
Cost Share	1,341	21.3	·	585	16.3			
Total Costs, All		_						
Sources	6,287	100.0		3,585	100.0			

Source: Assessment team analysis based on ALO data.

ACE notes that it is charging the same federally-approved rate to all of its many activities, and that this rate is based on actual costs for the totality of ACE programs.²² Moreover, ACE provides a considerable set of services, which include the following:

- Preparing and reviewing budget for all participating partnerships
- Reviewing and paying monthly/periodic invoices from all partnerships
- Tracking program costs by program
- Ensuring each program/partnership meets required financial match provisions
- Oversight and monitoring of partnership per federal grant compliance requirements and cost allowability
- Administrative support in areas such as human resources, information technology, publications, senior executive administration and general council services.

ACE clearly provides important services to the ALO program. The team does not have the data to judge the precise relationship between ACE's indirect charges to the program and the actual cost of services provided.

Clearly, given that it has one federally approved indirect rate for all activities, ALO is following the only course open to it at this time under federal regulations. Nevertheless, as noted, the way the program's indirect costs are allocated is creating concern. For example, the \$5 million Rwanda program, which is 50 times larger than a typical \$100,000 partnership award, pays 50 times the ACE indirect costs, i.e. \$873,000 vs. about \$17,000.²³ Reportedly, the recent decisions of the Rwanda and Macedonia Missions not to use ALO for the second phases of their programs were prompted in large part by these concerns.

ALO'S Pipeline. ALO's total expenditures as of June 30, 2004 totaled approximately \$29 million. This represented only about 50% of obligations, leaving a pipeline of approximately \$30 million. However, this pipeline needs to be viewed in terms of the nature of the ALO program. First, because universities spend their own money and receive reimbursement, actual or accrued expenditures are higher, and the pipeline is correspondingly lower. Further, the size of the pipeline reflects a decision not to depend on incremental funding for ALO's two-year \$100,000 partnerships. Given that incremental funding delays could affect literally hundreds of U.S. and overseas institutions, ALO's policy in this regard appears reasonable. ALO estimates that \$20.5 million is committed for the already-awarded partnerships. Most of the remaining pipeline funds are slated for ALO staff and other core expenses, such as peer review panels (\$2.8 million) and ACE indirect costs (\$4.9 million).

²³ Indirect costs on a \$100,000 award are approximately \$17,000, whereas they are \$873,000 for the Rwanda program (50 times larger). Direct management costs for the program are about 15%, or about \$15,000 for a \$100,000 sub-award. In contrast, direct management costs for Rwanda are \$194,000 (13 times larger).

²² Some institutions have different overhead rates for different classes of programs. Were that the case for ACE, it might result in a lower rate being charged on the share of USAID funds that are administered through sub-awards to participating U.S. universities.

Financial Management

Interviews overseas, at U.S. universities and with ALO and ACE, all suggest that funds are used with great care and that the accounting for the use of funds is taken seriously by all parties. Expense reports are apparently scrutinized carefully by university financial offices and then again by ALO and ACE. Several interviewees commented that their university financial offices are extremely insistent that every expense be fully documented, including matching contributions that are claimed.

Financial management, however, could be improved in several ways, which would enhance ALO and USAID's capacity to monitor and implement the program. As indicated above, USAID has not required that ALO track or report expenditures by major program or type of activity. The financial data readily available from ACE are extremely detailed. Data have not been regularly summarized into reports that would allow the executive director to monitor key indicators and to identify trends.

Further, the team believes that current financial reporting to USAID, particularly to the program's COTR, is inadequate. The ACE/ALO financial reporting that the assessment team has seen shows only total expenditures in the previous quarter, and that report apparently has been sent only to the people doing the USAID accounting and disbursement. The COTR has not received or requested data that allows him to see financial trends that may be of interest or concern to EGAT or to other USAID clients. He has had little information about management costs or the allocation of resources between program activities. This has limited his ability, among other things, to explain the program's finances to other potential USAID clients.

Finally, in the cases that the team reviewed, the process through which ALO and USAID Missions set the budgets for SIs was not sufficiently transparent. The results of the negotiations that ALO has had with the Missions have not been routinely transcribed and shared with others. The assessment team was pleased to note that ALO management is currently taking aggressive action to improve these systems.

D. Program Management and Governance

This section presents the assessment team's findings on program management and governance. The section first presents an assessment of the role of the higher education community and follows with an assessment of USAID's role.

1. The Higher Education Community

The U.S. HEC is represented in this program by three principal sets of institutions:

- The six national university associations that came together to form this program and that are represented on the ALO Board of Directors
- ACE/ALO (i.e., ACE and its ALO staff)
- The various U.S. universities that have participated in this program

Because these three groups of institutions share responsibility for most functions, this discussion is organized around key functional areas.

Leadership and Management of the Partnerships. HEC management of the program has clearly accomplished a great deal, particularly with respect to the university partnerships. As described previously in Section II.A, ALO management, guided by its board of directors, established an effective and transparent process for reviewing proposals and selecting partnerships for awards, guided the university partnerships in how the partnerships were to operate, disbursed funds and secured their financial and progress reports, managed annual conferences, and so on. Partnership directors gave high scores to ALO for most of its management systems. The assessment team's survey of ALO partnership directors indicated, for example, a high level of satisfaction with the RFA process (See Appendix D, Analysis of Web-Based Survey Results—ALO Assessment, Questions 13–16.) Similarly, the project directors found that the regulations and ALO staff permitted them sufficient flexibility to make changes in plans to deal with unforeseen events. (See Appendix D, Analysis of Web-Based Survey Results—ALO Assessment, Question 18.)

ALO requires semi-annual progress reports and quarterly financial reports from each partnership. ALO program associates review those reports to detect implementation problems and to ensure that each partnership is pursuing its stated objectives. Both ALO and ACE staff review quarterly financial statements and vouchers to determine that the items are reimbursable and conform to the partnerships' budgets. This system seems to be effective in detecting and resolving serious implementation issues.

These processes that ALO created led to 226 partnerships, most of which have functioned well, eliciting strong performance from U.S. and overseas universities, and producing many excellent programs. The creation of these systems and the management of the implementation process are major achievements of which the ALO management and staff should rightly be proud.

Areas in which the team found the ALO management systems somewhat lacking include reporting, evaluation and marketing. The partnerships' semi-annual progress reports vary in quality. Most partnership reports give a clear indication of implementation problems encountered (e.g., delays because of visas) and outputs achieved (e.g., the number of people trained in the previous semester). They also include reporting on the indicators that can be summed across partnerships. However, the indicators on which ALO asks every partnership to report (e.g., number of contacts with decision-makers on policy issues, the number of exchanges and internships sponsored)—indicators that EGAT/ED has asked ALO to use—often do not fit well with what partnerships are doing, and the resulting data are not always of wide interest.²⁴

ALO's difficulty in reporting results stems in large part from the nature of the program. ALO can, and does, make an eloquent and compelling case in its reports and publications

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²⁴ ALO organized a roundtable meeting in March 2004 to discuss the indicator issue. It is unclear what the follow-up and likely impact of this event will be.

regarding its achievements in reaching a large number of U.S. colleges and universities in international development, in working in many developing countries, etc. However, when it comes to telling the story of outputs and impact, ALO is faced with the daunting challenge of summarizing 226 extremely diverse, often excellent partnership stories.

Progress reports are only marginally helpful in enabling ALO to identify exemplary programs, and it would probably be unreasonable to expect them to do so. However, if one of the objectives of ALO partnerships is to pilot test different development approaches and to disseminate information about outstanding results, then the program needs some mechanism for identifying those programs that are truly exceptional and that deserve to be replicated across a nation or in other nations. The reporting system does not achieve this, and ALO has neither the staff nor the financial resources to conduct field assessments to fill this gap.

Marketing is another area requiring more attention. The team noted that ALO efforts in this area increased with the hiring of a deputy director (currently the acting executive director), but there has been relatively little time or attention given to interesting USAID Missions and Washington offices in using the ALO program. The team believes that more systematic attention to marketing could pay handsome dividends in terms of increased demand for partnership programs.

The management of individual partnerships is almost entirely the responsibility of the cooperating colleges and universities. Because ALO makes its awards in all cases to the U.S. partner, the U.S. partner is responsible for managing and reporting on the use of funds. The assessment team's interviews suggest that the U.S. project directors and the university financial offices take their responsibilities seriously and do a commendable job in carrying them out. Overseas partners, similarly, in most cases also do an excellent job in managing their side of the programs.

The team did on occasion surface some criticism from overseas partners of ALO's policy of making awards only to U.S. colleges and universities. The criticisms focused on the implied inequality in the relationship between the partners and on the overseas partners often receiving less than half of the partnership's funds. The assessment team believes that while these criticisms are understandable, so too is the ALO policy. Sub-awards to overseas institutions with vary accounting systems, unaccustomed to U.S. accounting standards and not knowledgeable about U.S. Government regulations, would be unmanageable and unacceptable to both ALO and USAID.

Leadership and Management of Other Elements of the Program. As indicated in Section II.B, efforts to develop broader HEC-USAID collaboration have not achieved the results desired. It appears that the HEC and USAID never truly agreed on the nature of the program. At one high level meeting of USAID-HEC held early during the period of the CA, the higher education community had an idea of what it would like to provide to USAID (e.g., high-level advice on strategic issues), but USAID either did not perceive a need for this advice or believed that this was not an appropriate mechanism through which to obtain it. In other words, USAID did not have a clear idea about services that it

wanted from the HEC beyond what it was already obtaining through BIFAD, Cooperative Research Support Program (CRSP), and a variety of other grants and contracts. As a result, there was no follow-up to the meeting and no real growth in this component of the HEC-USAID relationship.

The history of ALO's efforts to create higher-level strategic collaboration suggests that interest in collaboration in the abstract is not a sufficient basis for a fruitful relationship. There also needs to be a common perceived need (beyond collaboration) that the relationship fills. Such areas or needs do exist, at least that was the perception of many of those USAID and HEC representatives attending a high-level, facilitated dialogue that the assessment team organized in August 2004. Senior USAID officers indicated that USAID faces numerous issues, with new ones constantly arising, on which the enormous talent in the higher education community could provide assistance. The higher education community would presumably welcome that opportunity. The mechanisms to identify those areas and to define the nature of the collaboration do not currently exist. (This issue is discussed further in the context of the team's recommendations in Section III.)

Generating Resources for the Program. The CA explicitly establishes that ACE/ALO has a responsibility to generate a matching contribution equal to not less than 25% of USAID's contribution to the program. The HEC reporting and team interviews indicate that it has far exceeded this requirement. (See Section II.A.)

Although not explicitly a responsibility of ACE/ALO, USAID has from time to time encouraged ACE to seek resources from non-USAID sources, including the private sector, foundations and other federal agencies. The team believes that, perhaps due to the pressures resulting from the rapid expansion of partnership programs, little effort was made in this regard.

ALO Relationship with USAID Clients. ALO has generally maintained a cordial and productive working relationship with the EGAT/ED staff. Interviews with USAID officers indicate that ALO has been flexible and responsive in some areas (e.g., adjusting RFAs for institutional partnerships to reflect changing USAID priorities), occasionally reluctant in others (e.g., to seek funding from other sources), and protective in still others (e.g., in treating proposals as proprietary information belonging to the submitting college or university).

ALO relationships with Missions are more complex. ALO has helped a number of Missions to develop scopes of work for special initiatives. Missions' assessments of that work are generally positive. The Mexico Mission, for example, has found ALO helpful in almost every regard. In some cases, however, Missions believe that ALO staff were more interested in protecting and serving the interests of the higher education community than those of the Mission.

The biggest issue is that Missions, including many where ALO has IPs, are typically uninterested and uninformed about ALO and about the partnerships in their countries. Although ALO and many universities themselves could do a better job of keeping

Mission staff informed, such efforts that have been undertaken are generally not successful. Many partners, both U.S. and overseas, told the assessment team that USAID officers showed little interest in their programs. The team's main conclusion from these reports is that the actual or perceived relevance of the projects for the achievement of Mission objectives was insufficient.

2. USAID

General. USAID management of the program, while affected at times by work and budget pressures, has been generally supportive and of good quality. Program monitoring has been conducted according to requirements, although there appears to have been insufficient use of program data. EGAT/ED staff worked with ALO on partnership policy and management issues, as well as on policy roundtables and other matters, and participate regularly in ALO events. The staff also has made a number of attempts to publicize the ALO program and to generate financial support from other AID/W offices and Missions. The relative lack of high-level USAID knowledge or interest in the program has been a constraint.

Generating Interest and Financial Support for the Program. EGAT/ED has made a number of attempts to publicize the ALO program and to generate financial support from other AID/W offices and Missions. This effort has met with some success. However, marketing efforts do not appear to have been planned, widespread or coordinated with ALO.

Interviews with USAID officers in Washington and in the field also revealed perceptions that undoubtedly contributed to making EGAT/ED marketing efforts more difficult. Some of these perceptions included that the program is driven by university interests rather than by development needs (or USAID needs, which are often equated); that the program is a higher education development program (and thus not particularly relevant to health, agriculture, democracy and governance, and other USAID strategic objectives), and that it was created to meet a political need to involve U.S. universities. Any effective design and marketing strategies will need to take into account and overcome these negative biases.

Other constraints on marketing ALO have been the relative lack of high-level USAID knowledge or interest in the program and the limited use that has been made of the program's achievements in the legislative and public affairs area.

Monitoring of Performance. USAID has worked closely with ALO on many issues, and it has helped to make the IP program a success. EGAT staff members have provided guidance on USAID priorities for inclusion in RFAs and have participated in peer reviews of proposals. At the same time, the assessment team believes that USAID might have been more assertive in providing leadership, particularly in seeking ways to strengthen the relationship between IPs and Missions.

E. Non-USAID Partnership Programs

The State Department's Educational and Cultural Affairs Bureau's Educational Partnership Program (EPP) and its predecessor programs have funded more than 700 partnerships since the program began in 1982, with an emphasis, consistent with the State Department's public diplomacy mandate, on the humanities and social sciences. Reportedly, the program recently lost its line item status in the State Department's budget and is currently operating, on a much-reduced scale, under the umbrella of the Fulbright Scholars program. State Department field staff are said to be moving away from it, citing its opportunity costs vis-à-vis Fulbright, Humphrey, and other individual grants. Its long-term future, thus, would seem to be in doubt.

Other programs of interest are those managed by the Department of Education's Fund for the Improvement of Post-Secondary Education (FIPSE) and by the United Negro College Fund (UNCF).

UNCF's International Development Partnerships (IDP) activity is the closest to what ALO does, albeit on a much smaller scale. The goals of the International Development Partnerships program are to "strengthen the ability of higher education institutions in Africa, Asia, Eurasia, and Latin America and the Caribbean to respond effectively to the socio-economic needs of their societies, increase HBCU presence in international development, and advance the strategic objectives of USAID missions."

Further information on the State Department, FIPSE, and UNCF programs is presented in Appendix I, Non-USAID Programs of Interest.

F. Summary

Summarizing the team's assessment of the ALO program is difficult, due in large part to its breadth and complexity. The partnership programs were found to have been generally successful, sometimes exceptionally so, but significant shortcomings were discovered. The most prominent weaknesses were lack of an overall strategic framework for the programs, insufficient integration of IPs into the USAID programs they were designed to support, and lack of adequate program evaluation and dissemination of results.

The public diplomacy value of the partnership programs is high. While this is not generally regarded as an area of USAID responsibility, the program's attractiveness in this regard is likely to have a positive impact on the environment for USAID's work at home and abroad.

The team's assessment of the non-partnership activities is in general less positive. While a number of useful activities were carried out, particularly the recent efforts to begin to mobilize at least some of the vast technical and advisory capabilities of the HEC, the overall picture is one of modest achievement and a lack of leadership (and perhaps interest) to do a good deal more than partnerships over much of the life of the CA.

This somewhat mixed assessment, however, only tells part of the story. Current, ALO, USAID and higher education community leaders separately and jointly have told the team that they are interested in making a fresh start. From what the team can determine, USAID is desirous of retaining the program while strengthening and even expanding it, including the non-partnership components. Its primary condition for doing so is that the program be brought into a closer relationship with the Agency's objectives and programs, at the same time preserving the flexibility and creativity of the current partnership programs and the benefit these and other programs bring to the HEC. The HEC, for its part, has said clearly and repeatedly, that it is comfortable with the move toward closer integration into USAID strategic frameworks, so long as the principles of partnership and mutual benefits remain strong.

The bottom line, as the team sees it, is that the cooperative agreement and the programs that resulted from it have been an overall success and have set the stage for a stronger, more sustained, collaboration between USAID and the higher education community in the future, which will enlarge higher education's contribution to the realization of the nation's international development goals, while simultaneously benefiting the participating colleges and universities.

III. Recommended Future Strategy and Approach

A. General

This section sets forth the team's recommendations for the next phase of USAID-HEC collaboration. They are based on the totality of the findings presented in Section II, and seek to build on the achievements of the current program, while correcting its shortcomings. Also reflected are the team's best judgments as to where the respective agendas of USAID and the HEC most strongly overlap, thus creating the most critical element needed to ensure an enduring, productive, and mutually beneficial relationship.

The core goals are to provide the means for USAID to access a broader range of higher education capacities to help it achieve its objectives and to offer U.S. and host country colleges and universities a wide range of opportunities to participate in national development programs, with corollary benefits to their teaching, research, and outreach programs. In other words, the program is doubly demand-driven.

Other goals are to continue to encourage the involvement of new and non-traditional U.S. colleges and universities, leverage USAID resources through cost-sharing and the generation of complementary support from other donors, foundations, and the private sector, ensure maximum sustainability at both the program and project level, and seek to expand the program by providing a reliable, convenient, and cost-effective channel for other interested funders, including other U.S. Government agencies, foundations, and the private sector to also access higher education resources for development in accord with their respective needs.

General HEC institutional capacity development, either in the U.S. or in host countries, is not a goal of the proposed program. It is proposed, however, that strengthening of specific capacities integral to achievement of the goals of this program should be considered on a case by case basis.

B. Program Strategy and Approach

The team recommends that USAID, in collaboration with the HEC, design and launch a new Higher Education for Development Initiative (HEFDI). The overriding objective of the HEFDI would be as follows:

1. To facilitate and expand U.S. and host country higher education support for achievement of USAID development objectives.

The current ALO program has been successful in expanding the capacity and involvement of higher education in development in most, if not all, sectors, not just education. However, its impact has been limited by insufficient integration into USAID Mission and AID/W strategic frameworks. In the next phase, this needs to be corrected, without losing the energy, creativity, and entrepreneurship of the current program.

Four sub-objectives are proposed, as follows:

- 1.1 To support USAID strategic objectives through integrated planning, development, and implementation of university partnerships directly keyed to individual strategic objectives.
- 1.2 To involve key host country higher education institutions more directly and effectively in national development.
- 1.3 To facilitate USAID access to higher education advisory and technical assistance to support achievement of Agency objectives.
- 1.4 To assist USAID to develop a new generation of development professionals for service in the Agency.

C. Program Components

The team proposes five program components. The parenthetical reference in each component heading suggests the sub-objective or sub-objectives to which the component could respond.

1. A New Program of USAID-Generated Higher Education Partnerships. (1.1, 1.2.) Under this strongly demand-driven component, an annual competition would be held to recruit and select partnership teams to conduct projects developed and proposed by AID/W Missions, or both. Central funds would be employed to match AID/W and Mission funds 50-50 up to a maximum of \$200,000 (i.e., EGAT would provide up to \$100,000). Funds beyond the maximum would be provided 100% by the sponsoring unit or units or from other donors. Awards would be eligible for renewal, at the discretion of the USAID sponsor or sponsors, which would again be responsible for funding or finding other sources to cover the full cost.

Interested Bureaus and Missions would propose scopes of work consistent with their respective strategic plans, which fall within the broad priorities established for the competition. The latter would be established annually under the guidance of the Joint Advisory Committee proposed in Section III F. A pre-screening mechanism would be created within the Agency to assure that proposals broadly fit within program guidelines, following which the administering organization would issue a combined RFA to the HEC.

Partners' proposals submitted in response to the RFA would be screened, evaluated, and ranked by a peer review process similar to the one currently in use. Evaluation criteria might include:

- Evidence of the partners' capacity to carry out the proposed activities.
- Evidence of the strength and quality of the partnership, including successful prior experience working together, the availability of qualified, committed leadership, and strong institutional support.
- A program description that, among other things, clearly outlines how the proposal meets
 the objectives for the project established by the sponsoring Mission for the project, as
 stated in the solicitation.
- A performance measurement plan clearly stating how project performance will be measured, reported, and evaluated.

- A reporting and communications plan to ensure that all concerned parties, including the sponsoring unit or units and EGAT are kept fully informed and have timely opportunities to participate in key project decisions.
- A financial plan that includes a budget clearly linking expenditures to project objectives and indicating the respective share of money flowing to each partner, and a joint cost-sharing plan presenting the source and nature of each cost-sharing component.
- A long-term sustainability plan focusing on generation of complementary resources both for the project itself and follow-on activities.
- 2. A Continued but Redesigned Program of Institutional Partnerships (1.1, 1.2, 1.3). The second component would be an annual competition to provide a window for a reduced, but still critical number of "at-large" applications from college and university partnerships. As is the case in the current IP program, higher education partners would be free to propose projects of their own choice, so long as they fall under the priorities set for the competition and meet all other requirements of the solicitation.

There are two principal reasons for including this component. The first is the desire to continue to increase and further diversify the pool of U.S. higher education institutions with in-country relationships and experience. The second is to continue to tap the energy, creativity and entrepreneurship that have generally characterized these projects in the past.

Although certain weaknesses were observed, the team has a high regard for the IP program. A smaller program is recommended in order to free up funds for additional USAID-generated partnerships. But if the demand for the proposed new program falls below expectations, the team believes that any surplus funds would be well invested in the IP program, provided it is redesigned as recommended.

Successful at-large proposals would be 100% centrally-funded. The award maximum would be increased to \$125,000 and the maximum term to 36 months. Under the new program, at-large projects, as such, would be non-renewable, but if highly successful, they would be eligible to receive supplemental awards from Missions. All things being equal, preference would be given to projects involving new partnerships.

In order to capitalize fully on future at-large investments and to correct problems noted in the findings, the program needs to be redesigned in important ways. In particular, project development, monitoring, reporting, and evaluation processes for these awards should be revised to increase Mission involvement at key junctures. For example, prior consultation with Missions needs to be increased. Mission concurrence with proposals should be real, not pro forma, and a formal liaison person on the Mission staff should be identified. In addition, reporting and other communication mechanisms need to be adjusted to ensure that Missions are kept well informed at all times, and opportunities for Mission participation, as desired, in performance monitoring and evaluation be made available. In this way, the at-large program will also become more demand-driven.

At-large proposals would be screened using essentially the same peer review processes and selection criteria as proposals responding to Mission-sponsored projects.

3. A Continued Window for Special Initiatives (1.1, 1.2, 1.3, 1.4). In addition to the two annual partnership competitions described above, the current window for special solicitations would continue to be available. While it is envisaged that many of the projects now procured by Missions and AID/W through special initiatives would be channeled in the future through the new USAID-driven partnerships competition, it is anticipated that initiatives that are not a good fit with that component will continue. Examples might include projects to provide research and analytical support to AID/W units; Mission partnership projects that for substantive, size, or timing reasons are judged to require a special initiative; and a possible program or programs to assist USAID to recruit junior development professionals. In such cases, the sponsoring unit or units would be responsible for funding, finding other sources to financing the full amount of awards, or both.

The special solicitation window also would provide a convenient means for other U.S. Government agencies, foundations, the private sector, and other funders to access the same higher education resources as USAID.

4. A Strengthened Program of Technical and Advisory Services (1.1, 1.2, 1.3, 1.4). The fourth component would be a substantially stronger program to provide USAID access, as needed, to higher education advisory and technical assistance resources. This would be accomplished via the creation of a capacity in HIO to provide USAID with flexible, on-demand technical and advisory services for such purposes as planning and design of higher education inputs into Bureau and Mission strategic objectives (including partnerships), monitoring and evaluating the impact of such inputs, identifying and analyzing new and cutting edge development issues, and such other technical and advisory tasks as may be defined by the Agency.

While much could be accomplished in this vein under a cooperative agreement, consideration should be given to complementing the agreement with a Leader With Associates (LWA) contract.

5. A New Component to Assist USAID with Recruitment of a New Generation of Junior Professionals (1.5). This component is included for two reasons. The first is that, reportedly, this is a perceived need on the part of the Agency. The second is that an organization such as ALO or its equivalent would be the ideal mechanism to carry out whatever program of this kind that USAID might decide to implement.

Among the possibilities are a USAID Junior Professional Internship Program (JPIP) or a formal USAID Junior Professional Trainee Program (JPTP), or both. The former would provide a range of flexible short-term work-cum-training opportunities, designed primarily to meet specific AID/W or Mission needs, but also to give both the Agency and the interns exposure to each other. The latter, in contrast, would involve the recruitment and short-term appointment of possibly annual classes of Junior Professional Trainees (JPTs), who would undergo a structured, possibly one-year formal program of training and familiarization, following which the most successful trainees would be eligible to be considered for longer-term appointments. The target group for both programs would be well-qualified and interested recent graduates, graduate students, and junior faculty.

D. Program Instruments

Cooperative Agreement. The primary program instrument would continue to be a cooperative agreement. The proposed program, as envisaged, closely fits the requirements for such agreements. For example, it will be of interest and benefit to both USAID and the U.S. and host country HECs. The first three program components, the two partnerships programs and the special initiatives, will be implemented through sub-agreements between the HEC management institution and the U.S. college and university partners. Substantial cost-sharing will be provided by the management institution and both U.S. and host country partners. Both U.S. and cooperating country HECs will assume responsibility for seeking additional ways to leverage USAID funds and ensure sustainability of the program. And, although AID/W and the Missions will be closely involved in the design and monitoring of partnerships and other specific program activities, overall responsibility for the program will rest with the HEC management body and its board of directors.

Principles. In establishing a new program, USAID and the implementing organization should be sympathetic to the shift in focus to give greater emphasis to the achievement of USAID strategic objectives. They also should commit themselves to ensuring that there are effective mechanisms in place for monitoring, analyzing, and evaluating program activities and that the system for allocating indirect costs under the program is fair, appears reasonable to potential clients, and does not deter demand.

E. Program Management and Governance

HEC Program Management. The management center for the HEFDI would be a U.S. higher education organization or consortium, with broad access and high credibility in higher education. It would have responsibility for program management; peer review selection; and marketing, alliance-building, and resource generation.

The HEFDI Implementation Office (HIO) would report to a strong and broadly representative board of directors, which would provide active oversight and leadership. If desired, an academic advisory body could be created to assist the senior executive on program matters, without, however, assuming any of the oversight responsibilities of the board.

The HIO would support both USAID and the HEC equally in the achievement of program objectives. It would have primary responsibility for management of the five program components and for ensuring that its own and its partners' cost-sharing commitments are met. It would share quality assurance, performance monitoring, evaluation, marketing, alliance-building, and external resource generation responsibilities with USAID. As a key element in the latter work, the HIO would create and maintain an internal learning program aimed at supporting the monitoring, evaluation, and marketing needs of USAID and the HEC.

Program Management Systems. The current peer review—based selection system is exemplary and, in the team's judgment, does not require significant changes. Other program management systems, while currently meeting the basic needs, require review and possible modifications. Included are program reporting and communications, reporting on individual partnerships and other activities, program evaluation, financial reporting, and the use of special events.

Program Reporting and Communication. While a good deal of general program information is generated and disseminated, more is needed, in particular the collection and analysis of lessons learned, best practices, and what a large number of individual project results add up to in terms of impact. (See the earlier comment on developing the HIO as a learning center.) Related to this is the need for better communication of results, both within and outside the program.

Doing a better job on program reporting and communications is critical for a number of reasons. More and better communication of data is needed for program and project evaluation, both formative and summative, and for preparation of solicitations and the criteria by which they will be judged. Improved and more widely disseminated information is also critical for marketing the program within USAID and the HEC and to other potential donors, both public and private. Finally, strong, persuasive information on programs and their impacts is extremely important for explaining the program and its accomplishments to Congress and demonstrating accountability.

Activity Reporting. The current reporting system on individual partnerships and other activities works reasonably well in providing USAID with required performance data and general updates on activities, progress toward goals and future plans. It is intended also to provide a common base of information to compare and aggregate data for program evaluation and comparison purposes. In the latter respect, however, the team believes that it falls well short of the mark. It recommends that an expert review be conducted and changes made as required.

Program Evaluation. To the team's knowledge, the current assessment represents the first effort to evaluate the ALO program and its various components as a whole. It recommends that for HEFDI, a formal system of formative, as well as summative, evaluation be designed and implemented. Specifically, it recommends that serious consideration be given to contracting with an outside group to conduct an annual formative evaluation designed to aggregate and analyze the individual project reports data, regularly update that data and analysis, and make timely suggestions to stakeholders regarding any problems and concerns which require attention.

Financial Reporting. The team is satisfied that basic financial reporting requirements have been and are being met. At the same time, the team believes insufficient analysis and presentation of cost and financial data exists for purposes of facilitating program management and evaluation (see Section II, C, 3). The team recommends that an expert study of this issue be commissioned and changes made, as warranted.

Special Events. Special program events such as workshops, roundtables, and conferences are an important feature of the program. The team believes they should be considered, designed, and evaluated as support mechanisms for the achievement of larger program purposes, not as programs in themselves. For example, all such events should lead to specific plans for follow-up, with responsibilities for executing them clearly identified and assigned. To assist in the follow-up process, written reports should be prepared and disseminated and follow-up progress reports provided on a regular basis.

In addition, special events, with rare exceptions, should be designed to inform and influence audiences external as well as internal to the program. For example, invitations to senior USAID staff, key members of Congress or their aides, potential donors, and the media should be routinely considered in event planning.

The team believes that the concept and content of annual partnership Synergy Conferences should be reviewed to ensure that they are used in the most effective way to achieve the above objectives. A range of alternatives to the present model should be considered. For example, is there a case for convening smaller groups by sector or region? Could conferences be employed to develop specific ideas on how higher education's contributions to development can be increased and, in the course of doing so, provide feedback to USAID and the HEC on ways to strengthen the program? Could conferences play a key role in meeting the program requirement for compiling and disseminating partnership program lessons learned and best practices? And could a conference or several be devoted to alliance-building and resources generation issues?

F. Program Coordination and Relationships

General guidance and oversight would be provided by a Joint USAID-HEC Advisory Committee (JAC), chaired by the Assistant Administrator under whom the program responsibility falls, and including three to four additional members from each of the two communities, with appropriate staff assistance as needed.

The JAC would be convened as needed, but at least twice a year, to discuss broad program priorities, review monitoring and evaluation results for their program priority implications, assist with marketing and resource generation, review program modification ideas and recommend appropriate program modifications, and take such additional steps as needed to assist the program.

The program, as outlined above, would define the relationships between the two parties. It has been designed to be mutually beneficial in ways that will foster an effective and enduring development partnership for the achievement of program goals.

G. USAID Program Management

The USAID office assigned overall responsibility for managing the program would provide general program oversight; conduct and commission monitoring and evaluation programs; deliver field support and information services to all interested USAID units; provide administrative support to the JAC; and coordinate USAID inputs into program planning and budgeting processes.

These functions would be performed by a small staff headed by a person with broad experience in the Agency, good familiarity with higher education in the U.S. and abroad, and a strong commitment to the program's central goal: *To facilitate and expand U.S. and host country higher education support for achievement of USAID development objectives.*

H. Timetable and Transition

If the above recommendation, or approved variants of them, are accepted by the end of the first quarter of FY 2005, it should be possible to issue a solicitation or solicitations to obtain the required program services and have a management entity in place by the fourth quarter, i.e. in time to conduct the first partnerships competition under the new program in autumn 2005. If this schedule should slip, the first competition under the new program probably could not take place until the second quarter of FY 2006, with projects commencing late that fiscal year or early FY 2007.

While the procurement proceeds, it would be prudent to arrange for the conduct of the 2006 competition under the current CA, incorporating as many as possible of the innovations proposed for the new program, in order to ensure that there is no gap in the availability of new partnership opportunities.

I. Conclusion

The assessment team is convinced, as a result of its work, that the time is ripe for the development and implementation of the proposed Higher Education for Development Initiative. It believes, moreover, that the program, which will build on the successes of the current one but in a way that more firmly anchors it in the shared needs and interests of both USAID and the higher education community, will strengthen the relationship in enduring ways.

ASSESSMENT OF THE HIGHER EDUCATION PARTNERSHIPS FOR GLOBAL DEVELOPMENT PROGRAM

Volume II: Appendices

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Appendix A GEM-ALO Assessment SOW

I. Program Identification

Association Liaison Office for University Cooperation in Development Cooperative Agreement HNE-A-00-97-00059-00 September 30, 1997- September 30, 2007

II. Background

In September 1997, USAID awarded a five-year Cooperative Agreement to the American Council on Education (ACE), for a program in "University Partnerships" to include 1) networks, 2) partnerships, 3) policy roundtables, 4) workforce pilots, and 5) diffusion: lessons and results. Under Modification No. 21 (September 2002) expanded the program description to include the five areas below and Modification No 23 (September 30, 2003) extended the period of performance until September 29, 2005 and "enable(s) sub awards executed before September 30, 2005 to be fully completed by September 30, 2007. The activity focus continues to be the five areas:

- a) USAID-Higher Education Community partnership activity (networks, partnerships, and pilot activities for Missions and Regional Bureaus) which reflect emerging policy and technical solutions to development problems;
- b) Academic and technical training, imbedded in institutional partnerships, at U.S. colleges and universities; and
- c) Policy and program roundtables that can afford PPC, LPA and Regional Bureaus opportunity to engage in policy dialogue on emerging development issues and cutting edge knowledge and practice to address these issues;
- d) Higher education policy, technical, and advisory assistance for Missions and other USAID operating units;
- e) Synthesis and dissemination of appropriate research and best practices related to the above items.

In pursuit of these objectives, USAID partnered with the Association Liaison Office for University Cooperation in Development (ALO), which was formed by ACE. The ALO uses a policy board made of up representatives of the six higher education associations: the American Association of Community Colleges (AACC), the American Association of State Colleges and Universities (AASCU), Association of American Universities (AAU), National Association of Independent Colleges and Universities (NAICU), and the National Association of State Universities and Land Grant Colleges (NASULGC) to guide its operations and relationships between USAID and American higher education.

Through the ALO, the higher education associations seek to support American academic institutions as they engage with higher education associations and institutions in developing and newly independent countries to:

- 1) Collaboratively address an array of complex social, economic, educational issues and development problems;
- 2) strengthen their respective capacities for conducting the educational missions of teaching, research, and service to address development priorities including the improvement of basic education and the reform of higher education;
- 3) contribute to the preparation of a responsible citizenry and a skilled workforce engaged in a global marketplace;
- 4) increase the attention to and understanding of international education and development issues on US and host country campuses and among institutions' constituencies; and
- 5) disseminate information and share results of development cooperation both abroad and in the U.S.

III. Purpose of the Cooperative Agreement

The purpose of the Cooperative Agreement is to support the participating U.S. higher education associations in their efforts to engage the American higher education community in shaping a collaborative program of 1) enhanced partnership with USAID in support of its strategic objectives, 2) support to higher education institutions abroad to enable their stronger roles in addressing development problems; and 3) increased attention to international development issues on U.S. campuses and by constituents and cooperating institutions.

IV. Purpose of Cooperative Agreement, Partnership Activity, and Overall Program Review

As part of its involvement in monitoring progress toward the achievement of program objectives during the course of the Cooperative Agreement, and in order to made recommendations for strengthening the collaboration between USAID and the American Higher Education Community, USAID will conduct a Cooperative Agreement Program Review with the active participation of collaborating partners. The purpose of the Cooperative Agreement Program Review is:

- 1) To assess and compare the accomplishments of ALO activities with the activities in the Cooperative Agreement as outlined under Section III above;
- 2) To provide recommendations for strengthened cooperation between USAID and American higher education, and
- 3) To assist USAID and ALO to achieve optimal results in bringing to bear the resources of the higher education community for international development.

The review will be conducted in two parts – Part A and Part B.

Part A considers and reviews the implementation and impact of partnerships themselves and considers how interaction with U.S. colleges and universities enabled higher education institutions abroad to strengthen their capacity to address development problems.

Part B considers and reviews the activities, accomplishments, strengths, and weaknesses of ALO and USAID's (EGAT/ED) activities within the Cooperative Agreement to develop and enhance a strategic partnership between USAID and the higher education community in support of strategic development objectives.

The two stages are designed to proceed from the specific review of institutional partnerships (Part A) to a more general review of the working relationship pursued via the Cooperative Agreement (Part B). Part A will contribute to and inform Part B.

Part A. The objectives of the USAID Higher Education Partnership activities review are to:

- 1. Assess how well ALO, USAID (Regional and Central Bureaus, Missions) and the higher education community designed, funded, and implemented a variety of activities (e.g. institutional partnerships, pilot initiatives) designed to achieve critical and significant short term development impacts in the most cost-effective manner and produce conditions that enable the accomplishment of development results over a long period.
- 2. Assess how well the Agency and ALO developed effective quality assurance measures and established program and results monitoring mechanisms.
- 3. Assess how well the Agency and ALO developed and formalized grant implementation plans for monitoring and reporting results and impacts resulting from institutional partnerships.
- 4. Recommend how USAID Bureaus and Missions and the higher education community can improve measurement of impacts.
- 5. Consider whether these reports provide the type and scope of information needed to facilitate improved program implementation or foster lessons learned. Consider whether these reports reflect the effectiveness of the partnership's implementation. Determine whether and how reports were processed and employed by ALO and USAID, Regional Bureaus, Central Offices, and Missions. Consider whether these reports provide feedback that was incorporated into subsequent RFAs, peer review, and guidance to awardee institutions. In reviewing the ALO reports, consider how well the ALO activity results were communicated to EGAT/ED for their annual reports, the appropriateness of EGAT/ED's Strategic Objective 2 indicators as measures of the results of the Cooperative Agreement activities, whether other indicators be more appropriate, and whether results identified from the assessment can contribute to improved SO2 indicators.
- 6. Assess the means by which programs are monitored, results reported, and success stories disseminated. Assess the advantages and disadvantages of standard quarterly reports in hard-copy vs. continual entries into a web-based reporting mechanism and make recommendations.
- 7. Assess cost-sharing and other leveraging requirements. Examine the sources of matching and leveraging and the significance of these contributions to the effective implementation of the institutional partnership and links to the impacts that resulted. Examine whether the match or leverage increased the productivity of the partnership in any measurable fashion. Examine what types of cost-share and other leverage is most appropriate under varying circumstances.
- 8. Assess how well the results and lessons learned from institutional partnerships are currently shared with stakeholders. Assess how quickly and effectively lessons learned are applied in

- the program and give recommendations for how this can be done more easily and cost-effectively.
- 9. Ascertain the views of the host country higher education institutions as recipients and beneficiaries of the USAID/ALO partnership program regarding the extent to which they strengthened their capacity to address development problems. Ascertain whether institutions with strengthened capacities assumed more significant roles in development.
- 10. Ascertain the impacts and results of the various activities and approaches implemented under the partnerships to determine their comparative value relative to each other and relative to other possible approaches aimed at comparable development objectives, for example, a) service to the community based on the U.S. land-grant university and community college models, b) workforce development, and c) HIV/AIDS.
- 11. Assess the degree to which the Cooperative Agreement a) has affected or facilitated the achievement of U.S. partner universities' own objectives or goals, where they exist, in development and b) has encouraged U.S. partner universities to incorporate development goals in their institutional strategies.
- 12. Assess the impact of the annual conferences conducted by ALO, how valuable participants judge them, whether the conferences result in program changes or help partners address implementation, monitoring and evaluation, and communication issues.

Part B. The objectives of the overall Cooperative Agreement assessment are to:

- 1. Assess the effectiveness of ALO engagement of an array of higher education expertise through the Cooperative Agreement, and ALO dialogue with USAID, and make recommendations for enhancing this engagement and dialogue.
- 2. Identify activities that have been of mutual benefit to USAID and American higher education in service to the Agency's strategic development objectives.
- 3. Assess the effectiveness of ALO in facilitating strategic engagement of the higher education community in support of USAID's development agenda, and make recommendations for enhancing this. Assess the success in working with U.S. minority-serving institutions.
- 4. Assess the effectiveness of EGAT/Education in facilitating strategic engagement of Central Bureaus (e.g. other offices in EGAT, PPC, DCHA/DG, Global Health, and LPA), Regional Bureaus, and Missions with the higher education community in support of USAID's development agenda, and make recommendations for enhancing this.
- 5. Assess the policy and program roundtables, seminars, and dialogue agendas and their utility in furthering USAID's thinking and programming.
- 6. Assess the impact of the annual conferences conducted by ALO, how valuable participants judge them, whether the conferences result in enhancing the role of U.S. higher education as a strategic partner.
- 7. Ascertain the views of senior USAID officials, e.g. AAs, DAAs, regarding priorities and opportunities for more strategic collaboration with the higher education community.
- 8. Assess the quality of the special reports and publications produced under the Cooperative Agreement.
- 9. Ascertain the views of selected higher education leaders regarding priorities and opportunities for more strategic collaboration with USAID.

V. Program Review Methodology

The program review will consist of two distinct but related parts. The methodological approaches will differ from Part A to Part B.

Part A shall rely more on the assessment and analysis of information. It will also draw upon interviews and facilitation that will be designed to inquire and probe into how well the partnership program performed in relation to the objectives set forth in the Cooperative Agreement.

Part B shall be informed by the process and outcomes of Part A and will rely more heavily though not exclusively upon a facilitated dialogue with program stakeholders: USAID, ALO, and U.S. and host country higher education. The facilitation and collaborative assessment shall be designed to examine the array of activities (policy roundtables, annual conferences, publications, dissemination of best practices) and processes that were designed to contribute to the broader objectives of the Cooperative Agreement. Through these activities and processes, ALO and USAID endeavor to build a productive, mutually beneficial relationship between the U.S. higher education community and USAID. The facilitation and assessment will examine the dynamics and success of these efforts and will tap into the experiences of program participants in a manner that contributes to mutual learning and elicits insights into areas in need of further attention. The goal of the facilitated dialogue and collaborative assessment is to develop a consensus on how USAID and the U.S. higher education community might strengthen their working relationship.

The program reviewers(s) shall:

- 1. Develop a work plan for achieving the goals and deliverables of this SOW.
- 2. Review all key documents, including the Cooperative Agreement, modifications, ALO request for applications, sub-grant agreements between ALO and universities, activity progress reports, final reports, ALO annual conference reports, quarterly reports, results indicator data, roundtable reports, special reports, other publications that have been produced, and USAID/ED's Higher Education Strategic Objective 2 results framework, indicators, and targets.
- 3. Develop an assessment instrument to review the activities of the institutional partnerships; work closely with the EGAT/ED Cognizant Technical Officer, USAID's Higher Education Strategic Objective 2 Team staff, and ALO to ensure the practicality of the resulting instrument.
- 4. Work with the Cognizant Technical Officer to select a broad sample of partnerships to be assessed under Part A. Factors of selection include sector, institutional type, regional distribution, region or mission initiated vs. centrally funded, seed grant vs. large award, ongoing vs. completed, and/or other factors.
- 5. Interview in person or by telephone senior officials within USAID, senior leaders within the higher education community, selected institutional partnership directors and co-directors (US

and host country) and other development partners and stakeholders associated with this relationship (public and private partners, NGOs, etc.) using the instrument to study the issues and questions in Sections IV and V.

- 6. Develop a strategy, program, and schedule for the facilitated sessions in Part B. Work closely with the Cognizant Technical Officer, USAID's Higher Education Strategic Objective 2 Team staff, and ALO to ensure the practicality of the strategy.
- 7. Participate in and/or facilitate any other scheduled workshops, seminars or meetings held during the course of this assessment that will help achieve the goals of this review.
- 8. Work closely with the Cognizant Technical Officer and the ALO Executive Director.

The following questions are a representative but not exhaustive list of questions to be considered in addressing the issues in Section IV.

Part A. The reviewer(s) shall address the following questions and concerns in conducting the review of institutional partnerships:

- 1. To what degree did selected partnerships achieve the objectives set forth in the sub-agreements between ALO and partner institutions for partnerships under both ALO's annual grant competition and special mission-funded initiatives?
- 2. What impacts did the selected partnerships and networks have or are now having?
- 3. What factors facilitated or constrained the achievement of the partnership objectives, impacts (e.g., management, financing mechanisms, capacity, communication, etc.)
- 4. How effective was the solicitation process, including the development of the solicitation, the peer review process, and the determination of evaluation criteria used to review proposals in generating excellent project proposals, activities?
- 5. How effective were the partnership models, approaches, and working assumptions in achieving program objectives; in achieving significant development impacts?
- 6. To what degree were the local partners satisfied with the partnership program? What were their interests and concerns? How did such interests and concerns contribute to the ability of the partnership to achieve its objectives and development impacts.
- 7. To what extent did the partnerships continue beyond the USAID grant? Are development results likely to continue? What factors promote or hinder sustained collaboration and sustained development impact?
- 8. How was the communication and collaboration between partnering institutions and the relevant USAID Missions?
- 9. How well were results communicated to EGAT/ED for their Annual Reports?
- 10. What medium would best capture results for feedback and other uses and disseminates success stories: quarterly reports, or continuous web-based results input?
- 11. How well do EGAT/ED's Higher Education indicators tell the story of the Cooperative Agreement and partnerships? What other indicators could enhance the story? Could any of the results assessed serve as additional SO2 indicators?

Special questions for:

EGAT/ED-funded Institutional Partnerships

- a) Did the partners incorporate Mission input in the design and objectives of the partnership application?
- b) Did the implementing partners communicate or collaborate with the Mission in the subsequent implementation of the partnership?
- c) Were the Missions kept informed about the partnerships before, during and after the funding period?

Special Mission-funded Initiatives

- a) Did the partners involve the Mission in the design and objectives of the partnership application?
- b) Was the Mission satisfied with the level of involvement it had in the design or implementation of the partnership? Did the Mission express concerns or interests? Were they satisfactorily addressed?

Part B. The reviewers shall address the following questions and concerns in conducting the review of the Cooperative Agreement.

- 1. Which activities have been of mutual benefit to USAID and American higher education in service to strategic development objectives?
- 2. How have policy roundtables furthered USAID's thinking and programming?
- 3. How effective is ALO's engagement of an array of higher education expertise through the Cooperative Agreement, and ALO dialogue with USAID? What recommendations can be made for enhancing this engagement and dialogue?
- 4. How effective is EGAT/ED in facilitating the strategic engagement of Central Bureaus (e.g. Global Health, DCHA, PPC, LPA) and the Missions with the higher education community in support of USAID's development agenda? What recommended actions could enhance effectiveness?
- 5. How effective is ALO in facilitating the strategic engagement of the higher education community in support of USAID's and partner universities' development agenda? What recommended actions could enhance effectiveness? What recommended actions could support universities' development goals?
- 6. What are the views of senior USAID officials, e.g. AAs, DAAs, regarding priorities and opportunities for more strategic collaboration with the higher education community?
- 7. What are the views of selected higher education leaders regarding priorities and opportunities for more strategic collaboration with USAID?

VI. Deliverables

The reviewer(s) shall produce the following. Each submission must be approved by the EGAT/ED CTO.

- 1. A work plan with due dates, outlining how Parts A and B will be implemented and how the overall goals of this SOW will be achieved, due within two weeks after beginning work.
- 2. An interview questionnaire for Part A, due within three weeks after beginning work.
- 3. An oral progress report on Part A, due halfway through the period for Part A.
- 4. A revised work plan for Part B, as appropriate, including a strategy for and schedule of facilitated forums, due one week before the end of Part A.
- 5. A report presenting the results of Parts A and B. The separate sections on Parts A and B shall contain the results of the findings and recommendations on the objectives and questions listed in the relevant portions of Sections IV and V. The section on Part B shall include a summary of the facilitated discussions and their outcomes, including areas of consensus, and an actionable list of agreed upon recommendations for how the USAID and U.S. higher education community relationship, fostered by the ALO Cooperative Agreement, can be strengthened strategically and programmatically.

The report shall be no longer than 50 pages, not including appendices, and shall include an Executive Summary. The appendices shall contain the questionnaire instrument for Part A, the strategy for Part B, the notes of the facilitated discussions, a bibliography of written sources consulted, a register of persons interviewed and group forums facilitated, and other relevant items to be agreed on.

A draft in 10 copies shall be submitted to both USAID and the ALO for their review, due ten days before the end of the SOW period. The team shall schedule a meeting with USAID, ALO, and higher education representatives to review and receive comments on the draft. From that meeting the team shall prepare a final report and submit 20 copies to the EGAT/ED Cognizant Technical Officer (10 copies for USAID and 10 copies for ALO), along with a digital copy to each in Microsoft Word, due by the of the SOW period.

VII. Timeline

The period of this SOW is on/about February 15, 2004 to on/about July 31, 2004.²⁵

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²⁵ Procurement was delayed and USAID modified the timeline.

Appendix B ALO Cooperative Agreement Program Review Workplan

Background

The Scope of Work (SOW) states that the purposes of the Cooperative Agreement Program Review are:

- 1) To assess and compare the accomplishments of ALO activities with the activities in the Cooperative Agreement;
- 2) To provide recommendations for strengthened cooperation between USAID and American higher education, and
- 3) To assist USAID and ALO to achieve optimal results in bringing to bear the resources of the higher education community for international development.

The review will encompass two broad kinds of inquiry.

The first, labeled Part A in the SOW, will consider and review the implementation and impact of ALO partnerships and consider how interaction with U.S. colleges and universities enabled higher education institutions abroad to strengthen their capacity to address development problems.

The second, Part B will consider and review the activities, accomplishments, strengths, and weaknesses of ALO and USAID's activities within the Cooperative Agreement to develop and enhance a strategic partnership between USAID and the higher education community in support of strategic development objectives.

Approach

The program review team's approach to the assessment will be guided by the SOW. Close contact will be maintained throughout with the USAID Cognizant Technical Officer (CTO) and the Executive Director of ALO.

Given the inter-relationships between the two separate but related sets of concerns and the need to collect data in the most efficient way possible, the team will conduct Parts A and B in an integral fashion. For example, information related to Part B will be gathered throughout, as opportunities arise. Similarly, particularly in view of the range of academic calendars involved, data collection on the partnership programs will continue into the summer. This way, Part A will contribute to and inform Part B, and vice versa, throughout the review.

In sum, the team will address the totality of the ALO program experience, with a view to deriving critical insights and lessons to recommend innovative and effective ways to strengthen the long-term USAID-HE relationship, including the ALO program.

The work will be carried out in six stages over an approximately five and one half month period, as follows.

1: Startup and Planning (March 24–April 26)²⁶

- 1) Collect and review relevant documents and materials and initiate a cumulative bibliography to be attached to the final report.
- 2) Hold initial briefing/information-gathering meetings with USAID and ALO.
- 3) Prepare drafts of the work plan, report outline, assessment instrument, and site visit plan, for review by USAID and ALO.
- 4) Revise drafts as needed to incorporate USAID and ALO suggestions.
- 5) Develop lists of key USAID, other USG, ALO, and HE persons to be contacted, draft interview protocols, and prepare an implementation plan.²⁷
- 6) Design and initiate database.
- 7) Participate in the April 22 ALO Advisory Board meeting to brief the Board on the team's work and obtain feedback and suggestions.
- 8) Make detailed preparations for the initial round of site visits.
- 9) Work with USAID and ALO to ensure that plans and schedules for the assessment are fully communicated to the missions, associations, and all partners in a timely way.

2: Data Collection: Phase One (April 26–June 7)

- 1) Distribute surveys.
- 2) Tabulate survey results.
- 3) Initiate individual (or possibly facilitated group interviews) with key USAID, ALO, HE, and other sources.
- 4) Make U.S. partner site visits or calls prior to those overseas site visits, which will take place during Phase One.
- 5) Conduct initial overseas site visits, according to plan.
- 6) Oral progress reports to USAID and ALO at approximately mid-phase.
- 7) Follow-up to site visits, as needed.
- 8) Participate in ALO democracy and governance round table.
- 9) All Phase One data to be entered into the database by June 4.

3: Mid-Review Analysis and Planning (June 7–14)

- 1) Review Phase One data.
- 2) Discuss preliminary conclusions and critical gaps in the data.
- 3) Draft plans for facilitated dialogues among key stakeholders.
- 4) Revise the work plan as needed.
- 5) Meet with USAID and ALO to review tentative conclusions, the facilitated dialogue plan, and the state of the review.

4: Data Collection: Phase Two (June 14–August 2)

1) Develop detailed plans and schedules for interviews and facilitated dialogues, per the approved plan.

²⁶ All dates are indicative and are subject to some modification, depending on how the work proceeds.

²⁷ A cumulative list of all contacts will be maintained and appended to the final report.

- 2) Review detailed plans and schedules with USAID and ALO.
- 3) Prepare for facilitated dialogues, keeping USAID and ALO fully informed.
- 4) Conduct remaining individual and group interviews, per plan.
- 5) All Phase Two data to be processed by July 31.
- 5: Facilitated Dialogues (August 2–27)
- 1) Conduct facilitated dialogues, per plan.
- 2) All data to be processed by August 27).
- 6: Report Preparation and Review (August 27-September 30)
- 1) Analyze data.
- 2) Develop tentative conclusions and recommendations.
- 3) Meet with USAID and ALO to review tentative conclusions and recommendations.
- 4) Plan report preparation.
- 5) Draft report sections, as assigned.
- 6) Assemble first draft and share for comments.
- 7) Assemble second draft and share.
- 8) Draft addenda.
- 9) Submit draft report to USAID and ALO for their review.
- 10) Schedule meeting with USAID, ALO, and HE representatives to review and receive comments on the draft.
- 11) Incorporate comments, holding follow-up discussions as needed to clarify specific points.
- 12) Submit final report

Appendix C Partnership Data: 1998-2004

Sector 1 5 6 7 8 9 10														
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Partner Country	Angola	Eritrea	Ethiopia	Ethiopia	Ghana	South Africa	South Africa	South Africa	South Africa	Tanzania	Eritrea	Kenya	Malawi	
Coop. Institution	Agostinho Neto University	University of Asmara/Ministry of Agriculture	Addis Ababa Commercial College	Awassa College of Agriculture, Debub University	University of Cape Coast	National Access Consortium Western Cape (NACWC)	Vista University	University of the Transkei	Fort Cox College/University of Ft. Hare/University of Natal-Pietermaritzburg	University of Dar es Salaam	University of Asmara	University of Nairobi	Malawi Instittue of Education/Domasi College of Ed	
Status U.S. Institution	Mississippi Consortium for International Developme	Virginia State University	Middlesex Community College	Langston University	University of Maryland, Eastern Shore	Highline Community College	Prince George's Community College	Howard University	Oregon State University	Mississippi State University	Riverside Community College	State University of New York - Cortland	Virginia Polytechnic Institute	
Status	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	
Amount	\$100,000.00	\$99,856.00	\$49,861.00	\$100,000.00	\$100,000.00	\$49,999.00	\$49,999.00	\$99,923.00	\$99,998.00	\$83,763.00	\$47,500.00	\$100,000.00	\$97,244.00	
Cycle	1998	1998	1998	1998	1998	1998	1998	1998	1998	1998	1999	1999	1999	
Region Cycle	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

ALO Partnerships (1998 - 2004)

Region	Cycle	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	
							12345678910
Africa	1999	\$98,754.00	Closed	University of Massachusetts- Boston	Université Gaston Berger de Saint Louis	Senegal	
Africa	1999	\$49,500.00	Closed	Springfield Technical Community College	Althone Technical College	South Africa	
Africa	1999	\$49,990.00	Closed	Bronx Community College	University of Natal, Pietermaritzburg	South Africa	
Africa	1999	\$99,997.00	Closed	Howard University	University of the Western Cape	South Africa	
Africa	1999	\$100,000.00	Closed	Middle Tennessee State University	University of Durban- Westville	South Africa	
Africa	1999	\$100,000.00	Closed	Edinboro University of Pennsylvania	University of the Free State	South Africa	
Africa	1999	\$49,389.00	Closed	Columbus State Community College	Dar es Salaam Institute of Technology	Tanzania	
Africa	1999	\$96,442.00	Closed	Ohio State University	Makerere University	Uganda	
Africa	1999	\$99,995.00	Closed	Cleveland State University	Copperbelt University	Zambia	
Africa	2000	\$99,436.00	Closed	Washington State University	University of Botswana; Botswana College of Agricu	Botswana	
Africa	2000	\$99,911.00	Closed	Oregon State University	University of Botswana	Botswana	
Africa	2000	\$97,500.00	Closed	University System of Georgia	University of Cape Coast	Ghana	
Africa	2000	\$99,640.00	Closed	University of Delaware	Institute of Local Government Studies/Erasmus University	Ghana	
Africa	2000	\$99,878.00	Closed	University of South Florida	University of Cape Coast/University College of Education of Winneba	Ghana	
Africa	2000	\$99,021.00	Closed	Lincoln University of Missouri	University of Malawi Bunda College of Agriculture	Malawi	
Africa	2000	\$99,265.00	Closed	Virginia Polytechnic Institute	Domasi College of Education Malawi	Malawi	
Africa	2000	\$99,580.00	Closed	University of Iowa	Nigerian National Universities Commission	Nigeria	
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Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

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Partner Country	Senegal	South Africa	South Africa	South Africa	South Africa	Tanzania	Uganda	Kenya	Kenya	Mozambique	Ethiopia	Ethiopia	Ghana	Namibia	Nigeria	South Africa	South Africa	South Africa	South Africa
Coop. Institution	Centre Universitaire Regional de Bambey	Potschefstroom University	esATI	Eastern Cape Technikon	University of Durban- Westville	The Open University of Tanzania	Makerere University	Jomo Kenyatta University	Moi University Faculty of Health Sciences, etc.	Catholic University of Mozambique	Addis Ababa University	Alemaya University	University of Cape Coast	University of Namibia	University of Maiduguri	ML Sultan Campus of Durban Institute of Technology	Cape Technikon	University of Fort Hare	University of the Free State
Status U.S. Institution	University of North Florida	Florida State University	Michigan State University	Texas Southern University	Pennsylvania State University	Southern New Hampshire University	State University of New York - Albany	American Association for the Advancement of Scienc	Indiana University	West Virginia University	University of Illinois at Chicago	Langston University	University of Northern Iowa	Pacific Lutheran University	Ohio University	Spelman College	Highline Community College	Tuskegee University	Edinboro University of
Status	Closed	Closed	Active	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Active	Active	Active	Active	Active	Closed	Active	Active	Active
Amount	\$99,998.00	\$99,990.00	\$100,000.00	\$100,000.00	\$100,000.00	\$99,925.00	\$96,432.00	\$99,489.00	\$99,739.00	\$99,774.00	\$99,914.00	\$100,000.00	\$99,892.00	\$100,000.00	\$99,531.00	\$99,977.00	\$100,000.00	\$100,000.00	\$100,000.00
Cycle	2000	2000	2000	2000	2000	2000	2000	2001	2001	2001	2002	2002	2002	2002	2002	2002	2002	2002	2002
Region Cycle	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa	Africa

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Region	Cycle	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 9 10
Africa	2002	\$97,529.00	Active	Ohio State University	Sokoine University of Agriculture	Tanzania	
Africa	2002 Special 6	\$117,618.00	Active	Cornell University	Bahir Dar University	Ethiopia	
Africa	2002 Special 6	\$124,898.00	Active	Oregon State University	Wondo Genet College of Forestry of Debub Univ	Ethiopia	
Africa	2002 Special 6	\$124,636.00	Active	Suffolk University	University of Cape Coast	Ghana	
Africa	2002 Special 6	\$124,081.00	Active	University of Pittsburgh	Moi University	Kenya	
Africa	2002 Special 6	\$125,000.00	Active	Tufts University School of Medicine	University of Nairobi; Kenya Kenya Methodist University	Kenya	
Africa	2002 Special 6	\$124,994.00	Active	Michigan State University	University of Mali	Mali	
Africa	2002 Special 6	\$124,957.00	Active	Worcester Polytechnic Institute	Polytechnic of Namibia	Namibia	
Africa	2002 Special 6	\$124,988.00	Active	Pennsylvania State University	University of Namibia	Namibia	
Africa	2002 Special 6	\$124,799.00	Active	University of Delaware	Obafemi Awolowo University Nigeria	y Nigeria	
Africa	2002 Special 6	\$125,000.00	Active	Prince George's Community College	National University of Rwanda	Rwanda	
Africa	2002 Special 6	\$124,999.00	Active	University of Washington	University of Port Elizabeth	South Africa	
Africa	2002 Special 6	\$125,000.00	Active	Southern New Hampshire University	University of the North	South Africa	
Africa	2002 Special 6	\$125,000.00	Active	Washington State University	University of the Witwatersrand	South Africa	
Africa	2002 Special 6	\$125,000.00	Active	Spelman College	Mangosuthu Technikon	South Africa	
Africa	2002 Special 6	\$125,000.00	Active	Bronx Community College	Umgungundlovu Further Education & Training College	South Africa	
Africa	2002 Special 6	\$125,000.00	Active	Howard University	University of the Western Cape	South Africa	
Africa	2002 Special 6	\$125,000.00	Active	Florida A&M University	University of Zululand	South Africa	
Africa	2002 Special 6	\$125,000.00 Active	Active	Highline Community College	False Bay College	South Africa	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Region Cycle	Cycle	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 9 10
Africa	2003	\$99,908.00	Active	Maricopa Community College District	Universite D'Abomey, National School for Applied Economics and Management	Benin	
Africa	2003	\$100,000.00	Active	Northern Illinois University	Université de Mbuji Mayi	Democratic Republic of the Congo	
Africa	2003	\$100,000.00	Active	Boston University	Lesotho College of Education Lesotho	Lesotho	
Africa	2003	\$99,946.00	Active	Indiana State University	Mzuzu University	Malawi	
Africa	2003	\$100,000.00	Active	Texas A&M University	University of Malawi, Bunda College of Agriculture	Malawi	
Africa	2003	\$100,000.00	Active	Community Colleges for International Development	Polytechnic of Namibia	Namibia	
Africa	2003	\$100,000.00	Active	University of Missouri, Columbia	University of Western Cape	South Africa	
Africa	Ethiopia	\$97,859.00	Closed	University of Georgia	Unity University College	Ethiopia	
Africa	Ethiopia	\$150,000.00	Active	University of Alabama	Mekelle University	Ethiopia	
Africa	Mali 2003	\$399,984.00	Active	Montana State University	L'Institut d'Economie Rurale	Mali	
Africa	Rwanda	\$3,879,183.00	Active	Michigan State University; Texas A&M University	National University of Rwanda	Rwanda	
ANE	8661	\$99,817.00	Closed	University of Washington	Chulalongkorn University	Regional Southeast Asia	
ANE	8661	\$48,260.00	Closed	Kapi'olani Community College	Ceylon Hotel School Graduates Association	Sri Lanka	
ANE	1999	\$99,778.00	Closed	Houston Community College- Southeast	University of Delhi	India	
ANE	1999	\$100,000.00	Closed	University of Illinois Urbana- Champaign	Institute of Technology, Bandung	Indonesia	
ANE	1999	\$100,000.00	Closed	Case Western Reserve University National University of Laos	· National University of Laos	Laos	
ANE	1999	\$99,971.00	Closed	Washington University in St. Louis	Tribhuvan University	Nepal	
ANE	1999	\$100,000.00	Closed	Indiana University	Kathmandu University	Nepal	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Region Cycle		Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 9 10
ANE	1999	\$88,900.00	Closed	University of Washington	SillimanUniversity	Philippines	
ANE	1999	\$100,000.00	Closed	University of South Carolina	Mapua Institute of Technology	Philippines	
ANE	2000	\$99,600.00	Closed	Walla Walla Community College Al-Azhar University	Al-Azhar University	Egypt	
ANE	2000	\$100,000.00	Closed	University of Colorado-Boulder	Tribhuvan University	Nepal	
ANE	2001	\$99,810.00	Closed	Eastern Iowa Community College District	Vasavi College of Engineering	India	
ANE	2001	\$99,739.00	Active	University of Arkansas	Yarmouk University	Jordan	
ANE	2001	\$99,315.00	Active	Michigan State University	Institute of Forestry, Tribhuvan University	Nepal	
ANE	2002	\$100,000.00	Active	Purdue University	Kabul University	Afghanistan	
ANE	2002	\$99,978.00	Active	Southern Illinois University at Carbondale	Independent University of Bangladesh	Bangladesh	
ANE	2002	\$97,105.00	Active	Ohio University	State Institute of Islamic Studies Syarif Hidayatullah	Indonesia	
ANE	2002	\$100,000.00	Active	Clemson University	Universitas Sam Ratulangi	Indonesia	
ANE	2002	\$100,000.00	Active	Case Western Reserve University National University of Laos	National-University of Laos	Laos	
ANE	2002	\$98,829.00	Active	Red Rocks Community College	Tribhuvan University	Nepal	
ANE	2002	\$99,210.00	Active	University of Washington	De La Salle University	Philippines	
ANE	2002 Special 6	\$124,925.00	Active	Loma Linda University	Kabul Medical Institute	Afghanistan	
ANE	2002 Special 6	\$124,993.00	Active	University of Massachusetts- Amherst	Afghan University for Education	Afghanistan	
ANE	2002 Special 6	\$124,419.00	Active	California State University, Fullerton	Pannasastra University of Cambodia	Cambodia	
ANE	2002 Special 6	\$124,289.00	Active	Indiana State University	University of Hassan II - Mohammedia	Могоссо	
ANE	2002 Special 6	\$123,441.00	Active	Tufts University School of Veterinary Science	Tribhuvan Univ Inst of Agric Nepal & Animal Science	Nepal	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 9 10
MEPI 2003	\$100,000.00	Active	Plattsburgh State University of New York	Institut National de Commerce d'Alger	Algeria	
MEPI 2003	\$91,261.00	Active	Murray State University	University of Bahrain	Bahrain	
MEPI 2003	\$99,920.00	Active	DePaul University	University of Bahrain	Bahrain	
MEPI 2003	\$99,914.00	Active	University of Connecticut	Ain Shams University	Egypt	
MEPI 2003	\$93,685.00	Active	University of North Carolina at Chapel Hill	University of Jordan	Jordan	
MEPI 2003	\$99,486.00	Active	University of Missouri-Rolla	Mazoon College for Management and Applied Sciences	Oman	
MEPI 2003	\$100,000.00	Active	Southern Methodist University	University of Tunis El Manar Tunisia	Tunisia	
MEPI 2003	\$100,000.00	Active	University of Arkansas	Université du Centre at Sousse	Tunisia	
WB/Gaza	\$95,814.00	Closed	University of Georgia	Birzeit University/Al-Azhar University of Gaza	West Bank/Gaza	
WB/Gaza	\$98,805.00	Closed	Georgia State University	An-Najah National University	West Bank/Gaza	
WB/Gaza	\$99,876.00	Closed	Purdue University	Islamic University of Gaza (West Bank)	West Bank/Gaza	
WB/Gaza	\$99,968.00	Closed	University of Maryland, Eastern Shore	Palestine Polytechnic University	West Bank/Gaza	
WB/Gaza	\$100,000.00	Closed	University of Oklahoma	Bethlehem University	West Bank/Gaza	
WB/Gaza	\$100,000.00	Closed	Johns Hopkins University	Al-Quds University	West Bank/Gaza	
WB/Gaza	\$100,000.00	Closed	Calvin College	Birzeit University	West Bank/Gaza	
	\$49,980.00	Closed	Harford Community College	Moscow Medical College #1	Russia	
	\$99,734.00	Closed	Purdue University	Novgorod State University	Russia	
	\$49,498.00	Closed	Kent State University, Trumbull Campus	Tashkent State University	Uzbekistan	
	\$90,716.00	Closed	University of California, Davis	Samarkand State University	Regional Central Asia	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Region Cycle	Cycle	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 9 10	
EE	1999	\$98,289.00	Closed	Tiffin University	University of Bucharest	Romania		1
EE	1999	\$99,658.00	Closed	Haskell Indian Nations University	Gorno-Altaisk State University	Russia		
EE	2000	\$99,686.00	Closed	Tennessee State University	L'viv Institute of Management	Ukraine		
EE	2000	\$99,639.00	Closed	Washington State University	Tashkent Inst of Irrigation & Agric Mech Engrs	Uzbekistan		
EE	2001	\$99,675.00	Active	Montana State University	University of Zagreb/Osijek University	Croatia		
EE	2001	\$62,420.00	Closed	Harford Community College	Moscow Medical College #1	Russia		
EE	2002	\$99,996.00	Active	University of Georgia	University of Zagreb	Croatia		
EE	2002	\$99,955.00	Active	Georgia State University	Caucasus School of Business	Georgia		
EE	2002 Special 6	\$123,930.00	Active	University of Wyoming	Saratov State Socio- Economics University	Russia		
EE	2002 Special 6	\$125,000.00	Active	Kansas State University	Gorno-Altaisk State University	Russia		
EE	2003	\$99,981.00	Active	Cleveland State University	University of Rijeka	Croatia		
EE	2003	\$100,000.00	Active	Indiana University	American University-Central Kyrgyzstan Asia	Kyrgyzstan		
EE	2003	\$88,602.00	Active	Southern Connecticut State University	Technical University of Cluj- Romania Napoca	Romania		
EE	2003	\$100,000.00	Active	University of Illinois at Chicago	The National University of "Kyiv-Mohyla Academy" (NaUKMA)	Ukraine		
盟	Macedonia	\$2,325,000.00	Active	Indiana University	South East European University	Macedonia		
LAC	1998	\$49,870.00	Closed	St. Louis Community College	Guyana Ministry of Education	Guyana		
LAC	1998	\$100,000.00	Closed	Purdue University/Comell University	Escuela Agricola Panamericana (Zamorano)	Honduras		

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

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Sector 1 2 3 4 5 6						>						 				
Partner Country	Mexico	Mexico	Mexico	Mexico	Mexico	Mexico	Mexico	Nicaragua	Peru	Brazil	Colombia	s Jamaica	ia Nicaragua	Regional Latin America and the Caribbean	s Jamaica	
Coop. Institution	Universidad Tecnológica de Tua-Tepejí (Universidad Regiomontana	Universidad Tecnológica de Tabasco	Centros de Capacitación Tecnológica Industrial	Universidad Tecnológica de Fidel Velázquez	Universidad Veracruzana	Colegio de Postgraduados en Ciencias Agrícolas	Ministerio Agropecuario y Forestal	Universidad Nacional de la Amazonía Peruana/Amazon Center for Environmental Education and Research	National Confederation of Industry	Universidad de Los Andes/Universidad Nacional de Colombia	University of the West Indies Jamaica	Universidad Nacional Agraria Nicaragua	numerous partners throughout Latin America	University of the West Indies	
Status U.S. Institution	State University of New York -	Daytona Beach Community College	Paradise Valley Community College	San Diego Community College District	Kirkwood Community College	University of Georgia	Ohio State University	University of Florida	Organization for Tropical Studies Universidad Nacional de la Amazonia Peruana/Amazon Center for Environmental Education and Research	Community Colleges of Colorado National Confederation of Industry	American University	Furman University	University of California-Davis	National Assocation of Schools of Public Affairs a	University of Delaware	
Status	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	Closed	
Amount	\$49,001.00	\$49,972.00	\$49,975.00	\$49,999.00	\$49,999.00	\$97,899.00	\$99,972.00	\$199,996.00	\$100,000.00	\$49,972.00	\$100,000.00	\$100,000.00	\$97,800.00	\$100,000.00	\$97,940.00	
Cycle	1998	1998	1998	1998	1998	1998	1998	1998	1998	1999	1999	1999	1999	1999	2000	
Region Cycle	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

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Partner Country															
Partner	Mexico	Mexico	Mexico	Mexico	Mexico	Mexico	Mexico	Peru	Peru	Peru	Honduras	Mexico	Peru	Peru	Bolivia
Coop. Institution	Universidad de Quintana Roo Mexico	Universidad Veracruzano	Universidad Iberoamericana	Universidad de Guadalajara	Universidad Autónoma de Baja California	Consorcio Técnico del Noreste de México	Instituto Tecnológico y de Estudios Superiores de Monterrey	Universidad Nacional Agraria-La Molina	Universidad Nacional del Altiplano	Universidad Peruana Cayetano Heredia	Escuela Agricola Panamericana (Zamorano)	Consorcio Técnico del Noreste de México	Pontificia Universidad Católica del Perú	Universidad Nacional Agraria La Molina	Universidad Mayor de San Andrés/Universidad Católica Boliviana/Universidad Autónoma Gabriel René
Status U.S. Institution	University of Rhode Island	Maricopa Community College District	Florida A&M University	University of Wisconsin-Madison	University of California-San Diego	Texas A&M University	University of Texas-Austin	Iowa State University	University of Wisconsin- Madison	Johns Hopkins University School of Public Health	University of New Mexico, Albuquerque	Texas A&M University	University of Delaware	Texas A&M University	American Museum of Natural History
Status	Closed	Closed	Closed	Active	Active	Active	Closed	Active	Active	Active	Active	Active	Active	Active	Active
Amount	\$99,984.00	\$100,000.00	\$100,000.00	\$97,093.00	\$99,782.00	\$100,000.00	\$259,189.00	\$99,948.00	\$99,958.00	\$99,998.00	\$100,000.00	\$100,000.00	899,998.00	\$100,000.00	\$123,530.00
Cycle	2000	2000	2000	2001	2001	2001	2001	2001	2001	2001	2002	2002	2002	2002	2002 Special 6
Region	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC	LAC

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Region	Cycle	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 9 10
LAC	2002 Special 6	\$247,860.00	Active	Western Illinois Universitiy	Universidad Mayor de San Andrés/Universidad Autónoma Gabriel René Moreno	Bolivia	
LAC	2002 Special 6	\$125,000.00	Active	Texas A&M University	Universidad Autónoma de Nuevo León/Universidad Autónoma de Tamaulipas/Universidad Autónoma Agraria Antonio Narro	Mexico	
LAC	2002 Special 6	\$103,377.00	Active	University of Wisconsin-River Falls	Universidad Nacional Agraria Nicaragua	Nicaragua	
LAC	2003	\$100,000.00	Active	University of Colorado at Boulder	Centro Federal de Educacao Technologica de Minas Gerais	Brazil	
LAC	2003	\$98,267.00	Active	Utah State University	Universidad Autónoma de Santo Domingo	Dominican Republic	
LAC	2003	\$99,620.00	Active	University of Wisconsin- Madison	Universidad de San Carlos de Guatemala	Guaternala	
LAC	2003	\$100,000.00	Active	Central Connecticut State University	University of the West Indies	Jamaica	
LAC	El Salvador	\$1,099,791.00	Closed	Metropolitan Community College	Universidad Centroamericano "Jose Simeon Canas"	El Salvador	
LAC	TIES I	\$104,574.00	Active	Texas Christian University	Universidad de las Américas- Mexico Puebla	Mexico	
LAC	TIES I	\$150,877.00	Active	Indiana University	Universidad Nacional Autónoma de México	Mexico	
LAC	TIES I	\$157,330.00	Active	Northern Arizona University	Universidad de Sonora	Mexico	
LAC	TIES I	\$188,902.00	Active	University of New Mexico, Albuquerque	Universidad de Quintana Roo Mexico	Mexico	
LAC	TIES I	\$200,000.00	Active	Texas A&M University - Corpus Christi	Instituto Tecnológico de Saltillo	Mexico	
LAC	TIES I	\$212,162.00	Active	University of Texas at Austin	Benemérita Universidad Autónoma de Puebla	Mexico	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

	Region Cycle	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 0 10
	TIES I	\$218,960.00	Active	Southern Oregon University	Universidad de Guanajato	Mexico	
—	TIES I	\$241,452.00	Active	Texas A&M University - Kingsville	Instituto Tecnológico y de Estudios Superiores de Monterrey	Mexico	
-	TIES I	\$247,860.00	Active	Western Illinois University	Universidad Autónoma de Querétaro	Mexico	
	TIES I	\$297,668.00	Active	University of Illinois Urbana- Champaign	Universidad Autónoma de Querétaro	Mexico	
	TIES I	\$297,971.00	Active	University of Texas at San Antonio	Universidad de Guadalajara	Mexico	
	TIES I	\$299,067.00	Active	University of Scranton	Universidad de Iberoamericana	Mexico	
	TIES I	\$299,124.00	Active	San Diego State University	Universidad Autónoma de Baja California	Mexico	
	TIES I	\$299,857.00	Active	University of Connecticut	Universidad Autónoma de Baja California	Mexico	
	TIES I	\$299,860.00	Active	Michigan Technological University	Universidad de Sonora, Hermosillo	Mexico	
	TIES I	\$299,934.00	Active	University of Arizona	Universidad Autónoma de Chapingo	Mexico	
	TIES I	\$299,995.00	Active	University of Wisconsin- Madison	Instituto Tecnológico y de Estudios Superiores de Monterrey-Querétaro	Mexico	
	TIES II	\$278,191.00	Active	University of Arizona	Universidad Autónoma de Tamaulipas	Mexico	
	TIES II	\$279,116.00	Active	University of Chicago	Universidad de Iberoamericana, Cuidad de Mexico	Mexico	
	TIES II	\$284,064.00	Active	Iowa State University	Universidad de Colima	Mexico	
	TIES II	\$292,689.00	Active	University of Arizona	El Colegio de Sonora	Mexico	
	TIES II	\$295,354.00	Active	Southern Methodist University	Instituto Tecnológico y de Estudios Superiores de Monterrey	Mexico	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Ŕegion	Region Cycle	Amount	Status	Status U.S. Institution	Coop. Institution	Partner Country	Sector 1 2 3 4 5 6 7 8 9 10
LAC	TIES II	\$298,298.00	Active	\$298,298.00 Active University of Georgia	Universidad Veracruzana	Mexico	
LAC	TIES II	\$298,667.60 Active	Active	Arizona State University	Instituto Tecnológico de Sonora	Mexico	
LAC	TIES II	\$299,017.00 Active	Active	Alamo Community College District	Universidad Tecnológica de Mexico Coahuila	Mexico	
LAC	TIES II	\$299,564.00	Active	University of Arizona	Centro de Investigación y de Mexico Estudios Avanzados	Mexico	
LAC	TIES II	\$299,738.00 Active	Active	University of Notre Dame	Universidad de Guadalajara Mexico	Mexico	
LAC	TIES II	\$299,786.00	Active	Active Cornell University	Universidad Autónoma de Yucatán	Mexico	
LAC	TIES II	\$299,905.00	Active	University of Wisconsin- Madison	Universidad de Guadalajara Mexico	Mexico	
LAC	TIES II	\$299,956.00	Active	\$299,956.00 Active Arizona State University	Instituto Tecnológico y de Estudios Superiores de Monterrey	Mexico	

Sectors: (1) Agriculture/Agribusiness/Animal Science; (2) Community Development; (3) DG/Public Policy/Journalism; (4) Economic Growth and Trade; (5) Education; (6) Environment/Natural Resources Management; (7) HIV/AIDS; (8) ICT/DE; (9) Population, Health and Nutrition; (10) Workforce/Entrepreneurial Development

Appendix D Analysis of Web-Based Survey Results—ALO Assessment

I. METHODOLOGY

In order to collect as much feedback as possible on experiences, ideas, and opinions about the USAID-ALO grant program from those directly involved, the assessment team surveyed the partnership directors (PDs) of grants that had been awarded between 1998 and 2003. There were 180 grants awarded during this period. For ease of transmission and data collection, the survey was designed as a Web-based questionnaire. The assessment team sent memoranda via e-mail to the target audience explaining the purpose of the survey and asking that they use the Internet to access and complete the questionnaire, and to return it to the team. E mail messages were sent to 338 of the potential 360 respondents, including all 180 U.S. partnership directors and 158 (or 88%) of the non-U.S. partnership directors. The team was unable to obtain e-mail addresses for the other 22 overseas partnership directors.

The Questionnaire

The ALO assessment team developed the survey instrument with considerable input from those most directly concerned with the management of the grant program, including the ALO executive director and deputy executive director, as well as the USAID cognizant technical officer (COTR) for the ALO grant program and other USAID personnel in the EGAT/ED office. The survey instrument had 39 questions divided into eight areas of concentration:

- Overall Results
- Planning the Partnership
- Implementing Partnership Activities
- Characteristics of the Grant Award
- Cost-Sharing
- USAID's Role
- Sustainability of the Partnership
- Networking and Disseminating Information about Partnerships.

The survey was pre-tested with five involved ALO grant partnership directors, who had all also previously served on the ALO Advisory Council. These pretest participants provided thoughtful and useful comments that were helpful in finalizing the survey instrument.

The Respondents

The assessment team received 162 completed surveys out of a total of 338 (a 48% response rate); 56% were U.S. partnership directors and 39% of were non-U.S. partnership directors.

The assessment team tracked certain demographics of the survey respondents based on information provided by the ALO database for partnerships. These demographics are provided in

²⁸This number excludes eight ALO grants that were part of a sub-agreement between ALO and the American Association of Community Colleges (AACC). Those eight were tracked by AACC.

Table 1 (see end of the report), Summary of Partnership Survey Response Coverage. It is interesting to note that 47% of public and 51% of private schools responded. Participating colleges and universities in each of the six national associations had a response rate of 41% or higher. Each of the 10 sectoral categories²⁹ for partnerships was represented and responded to the survey; the response rate varied from a low of 41% (Agriculture) to a high of 65% (Community Development). Response rates by region were also acceptable, ranging from a low of 42% for the Asia and Near East Bureau to 63% for the Europe and Eurasia Bureau.

The survey included both ongoing and completed partnerships. Of the ongoing partnerships, 108 of 223 (48%) responded. Of the closed partnerships, 54 of 115 (47%) responded.

Award amounts for the ALO grant program varied widely. The majority, 290 partnership directors (86%) in this population receive funding for \$125,000 or less. However, six partnership directors had awards worth more than \$1 million. The response rate was good for all award amounts, ranging from 40% to 100%.

Finally, responses were categorized by yearly grant cycle (for Institutional Partnerships) or by initiative (for Special Initiatives). The response rate for these was greater than 30% for all categories with the exception of the West Bank/Gaza initiative.³⁰

²⁹ These included (1) Agriculture, (2) Community Development, (3) DG/Public Policy/Journalism, (4) Economic Growth and Trade, (5) Education, (6) Environment/Natural Resources, (7) HIV/AIDS, (8) ICT/DE, (9) Population/Health and Nutrition, and (10) Workforce/Entrepreneurial Development.

³⁰ Only one of 12 partnership directors in the West Bank/Gaza category responded.

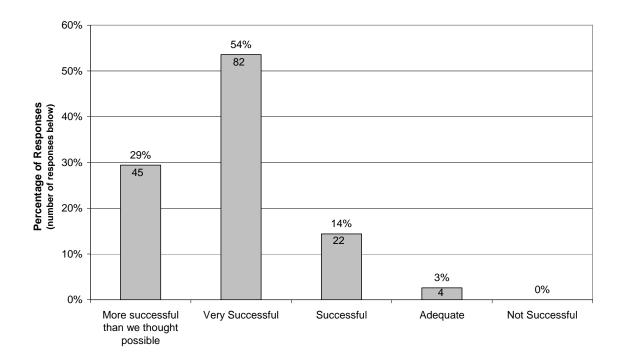
II. THE SURVEY INSTRUMENT AND RESULTS³¹

The responses for each of the survey questions are summarized below. For some questions, the survey instrument permitted respondents to indicate that it was too early in the project to respond if they did not know the answer. These were treated as if the person did not respond in order to calculate percentages of those who chose each of the other possible responses.

Survey Category: Overall Results (of the Partnership Program)

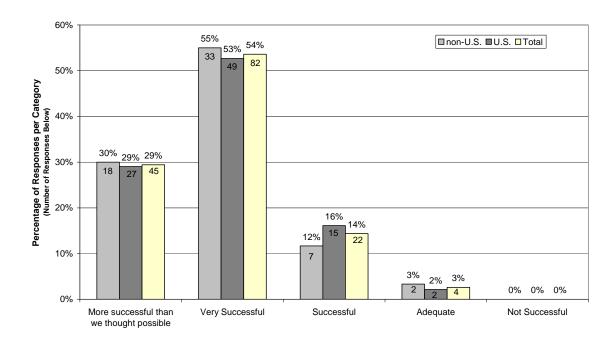
1. How successful has this partnership been in terms of achieving its stated objectives (such as problem-focused research undertaken, new courses or curriculum developed, faculty skills enhanced, teachers trained, new technology introduced, new outreach programs launched, etc.)?

- More successful than we thought possible
- Very Successful
- Successful
- Adequate
- Not successful



³¹ Due to rounding percentages, some of the charts in the section will add up to 99% or 101%.

U.S. and non-U.S. partnership directors had parallel positive responses. More than 83% of each group rated the achievement of objectives in the top two categories.



2. Please briefly describe the one or two most important results achieved from this partnership.

The responses from this question were rich and clearly demonstrated that the ALO grant program has accomplished a diverse set of results through university partnerships. The following sample of comments is organized around recurrent themes.

Institutional Development and Training

- Contributed to the creation or improvement of a department within the university (multiple responses)
- Establishment of the nation's first and only Faculty of Letters and Social Sciences and Departments of Political Science, and Management and Public Administration
- Developed curriculum for a Community Justice Master's degree
- Increased stature of their department
- Graduated 20 pediatricians and launched a three-year internal medicine training program
- Established a training program for community development practitioners that already graduated 50 practitioners and currently has 100 new enrollees from all levels of government (program is now self-sufficient, running on fees and tuition)
- Created a specialized center for tuberculosis and HIV/AIDS research training

Collaboration with the Public Sector, Private Sector and/or Community Development

- Developed a model health delivery system to prevent and treat HIV
- Launched a regional watershed management program

- Established a network of university-based small business development centers based on the U.S. model
- Introduced GIS and created the first atlas for a specific region
- The coordination of a national conference on the role of historically disadvantaged institutions in contributing to sustainable development in [country]. The registered audience of 150 participants includes senior and mid-level administrators from each of the historically disadvantaged institutions in the country; government officials from the national and provincial governments; government, private, and corporate funding agencies, including USAID, the Ford Foundation, Microsoft, and Coca-Cola; and local and international media, including CNN

<u>Information Technology</u>

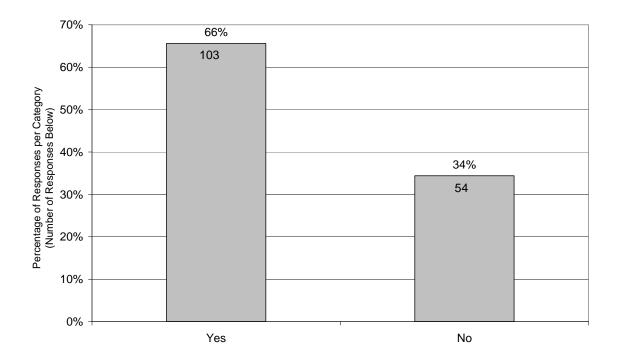
- Opened a computer laboratory where previously none existed
- Enhanced communication through the creation of several community and university Web sites
- Developed skills in distance learning used to teach computer literacy to teachers from poor, underdeveloped communities
- Generated Web-based continuous distance education
- Enabled 560 secondary school teachers to use computers without problem

Knowledge Share/Networks/Sustainability

- Improved mobility of students and administrators between the two partnering countries through student exchanges, international conferences, joint research projects, field experience, and enhanced communication
- Established "An abiding sense of mutual trust and respect which has allowed us to continue our relationship beyond ALO funding"
- Generated momentum for the creation of further partnerships
- The international conference provides an opportunity for both universities to exchange ideas and seek for other ways to cooperate in the future

- 3. Has the partnership produced important unanticipated results?
 - Yes
 - No

If yes, please describe those results.



The partnership directors supplied a plethora of examples of unexpected results of their projects. Many partnership directors gave examples of how their partnership was able to exceed the goals set in their SOs. Many referred to training many more students, faculty and community members than they had originally envisioned. Several mentioned the unanticipated, positive long-term relationships that were formed, additional contacts beyond the field of the partnership, and potential for future collaboration.

Exceeded Expected Outcomes

- More faculty trained than anticipated
- A new faculty was created whereas the original goal was simply to create a department
- An American university now hosts several MBA interns from the partner country every summer. This was not part of the original plan, but has become a key feature of a continuing relationship.
- 1,981 people trained, instead of only the 1,200 intended
- The expansion of a woman's group for goat production exceeded expectations and the impact that a modest number of goats had on village families was also more than had been expected

Increased Funding/Leveraging

- ALO grant grew into a \$20 million project in HIV/AIDS control in Kenya
- Additional funding to expand the scope of the partnership to other areas
- Additional funding leveraged from private foundations

- Donation of equipment (60 strong-motion accelerographs)
- Foundation support acquired to establish a new nonprofit institution
- An agreement under which the U.S. partner allows Kenyan students in-state tuition

<u>Increased Interest by Higher-Level Stakeholders</u>

- Increased interest in the administration of the U.S. partner in collaborative international activities
- Increased host government interest in the establishment of an agriculture technical institute
- Increased interest in promoting community colleges (India)
- Increased respect of in-country university by farmers and agribusiness leaders
- A continued two-way flow of students (to and from the United States) and new collaborative research between the universities
- Minister of Education interest in expanding the program to other universities
- Establishing a University Council with the local community to support local and regional development

U.S. Higher Education Influence

- Increased awareness of the value of U.S. higher education
- A new orientation toward employment in the private sector

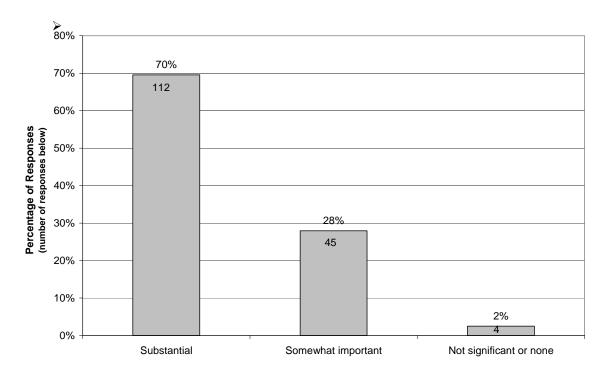
Local University Benefits

- Increased faculty and student involvement with governments, NGOs, business, and industry
- Increased quality of curricula and training at the partner schools
- Website development of non-U.S. university

Other

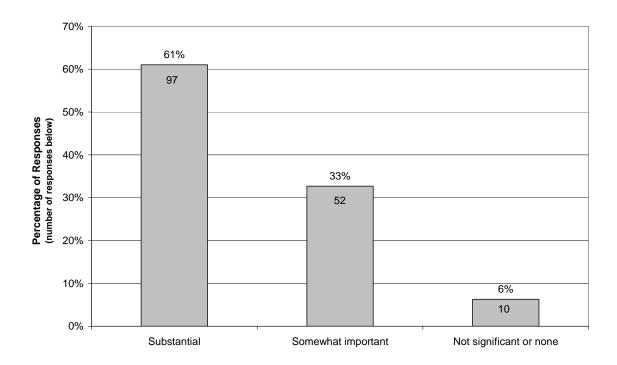
- Establishment of a digital library of millions of documents
- Implementation of an approach to patient care that led to less post-operative complications, a reduction of hospital-acquired infections, shorter hospital stays and a collaborative relationship between nurses and doctors
- New channels of collaboration were opened by us the e-Learning Centre and the center staff at the non-U.S. campus in the project

- 4. The ALO partnerships contribute to shared, larger, longer-term objectives. How would you assess your partnership's actual impact on the achievement of the following larger objectives?
 - ➤ 4a. Improving the capacity of the non-U.S. university or institution to prepare its faculty, administrators and students to contribute to economic and social development (commensurate with the size of the grant).
 - Substantial
 - Somewhat important
 - Not significant or none

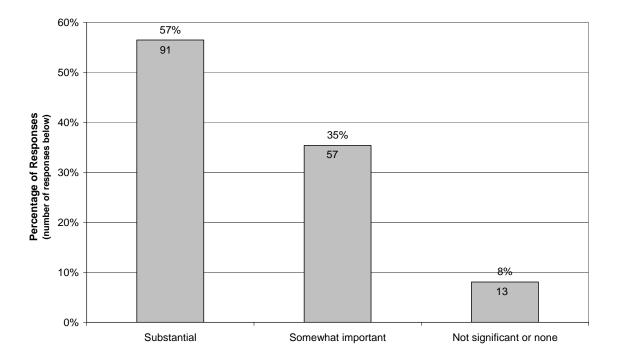


4b. Improving the capacity of the non-U.S. university to engage more fully (through research, special training programs, policy studies, outreach programs and other activities) with the private sector, NGOs and government to help address national development problems.

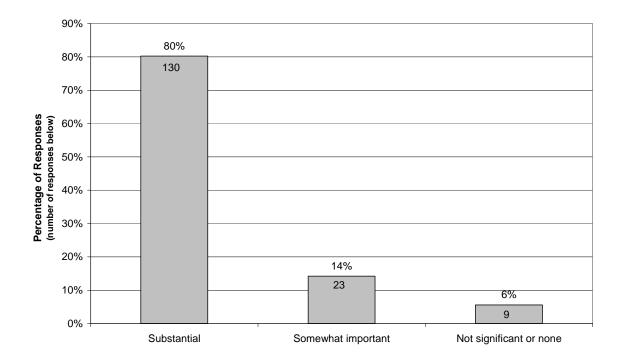
- Substantial
- Somewhat important
- Not significant or none



- → 4c. Improving the capacity of the U.S. university and its students to participate in international development programs, to increase knowledge and understanding of international issues and/or to incorporate that knowledge and understanding into its academic programs.
 - Substantial
 - Somewhat important
 - Not significant or none



- *→* 4d. Establishing a long-term (beyond the period of the ALO grant) mutually beneficial institutional relationship.
 - Substantial
 - Somewhat important
 - Not significant or none



The assessment team disaggregated these data to determine whether the responses of the non-U.S. partnership directors differed from those of the U.S. partnership directors. No significant differences were present.

This question was intended to elicit opinions from the partnership directors on the types of impact the program is having. This question bears on the issue of the overall program development impact and on the discussion about the appropriate goals and program strategy for follow-on programs.

As advocates and champions of their respective partnerships, partnership directors are obviously likely to assess these impacts more highly than independent observers. Although partnership directors see their partnerships as having a substantial affect on each of the four higher-level objectives identified in this question, there are interesting differences in their responses to each of the four parts. Partnership directors see the clearest impact on the establishment of long-term university-to-university linkages (part "d" of the question), in which at least 80% see the program as having a substantial impact.

Parts "a" and "b" of this question both address enhancing the capacity of the overseas (non-U.S.) university, but in somewhat different ways. Part "a" focuses on the development of university capacity in the traditional areas of teaching and academic research, preparing young people for

their careers and generating knowledge. Part "b" focuses on university outreach capacity (i.e., increasing the interest and ability of the university to act as an active participant with government, the private sector, and NGOs in resolving current development issues). With respect to these two questions, 70% of respondents also see a substantial program impact on capacity of the non-U.S. university to prepare its students and faculty, and 61% percent see a substantial impact on the capacity of the overseas universities to engage with other actors in addressing development problems in their countries.

Respondents gave the lowest impact scores to part "c" of he question: 57% of respondents see the program as substantial enhancing the capacity of the U.S. partner to participate in international development, to understand international issues and to incorporate that knowledge into its academic programs.³²

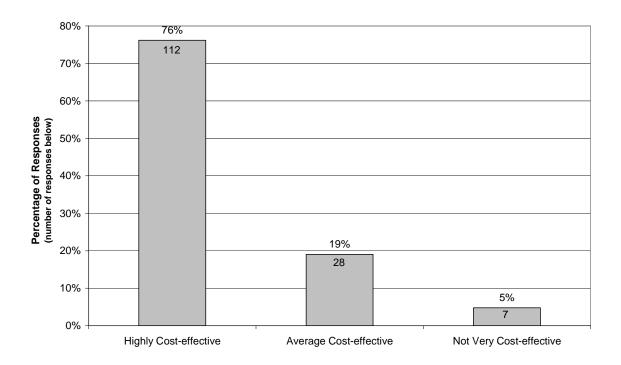
These responses contrast somewhat with the data that the team collected in its numerous interviews with partnership directors. Those interviews, both in the U.S. and overseas, suggested the institutional development of the non-U.S. partner (parts "a" and "b" of this question) as the key motivating factor behind most partnerships, suggesting that longer-term impacts would be most notable in that area. The survey data, suggesting that the most likely impact is on the building of a long-term university-to-university linkage, is not necessarily inconsistent with that impression. It may be, for example, that the clearest or most common impact, or both, is on the creation of linkages, but the most important is the institutional capacity development of the non-U.S. university.

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³² The survey did not query partnership directors regarding whether their programs significantly impact the achievement of the local USAID Mission's strategic objectives. The assessment team believed that partnership directors would not be sufficiently familiar with strategic objectives or with USAID indicators to make that assessment.

- 5. Given the amount of resources devoted to your partnership (from USAID, cooperating institutions and other public and private sector sources) and the results achieved, how cost-effective is this program?
 - Highly cost-effective. The results were exceptional given the resources devoted to this effort.
 - About as cost-effective as the average university programs
 - Not very cost-effective

Comments:



Of the 147 partnership directors who answered this question, 76% found their partnerships to be highly cost-effective; 19% observed only average cost-effectiveness, and 5% thought their partnerships were not very cost-effective.

Following are a few of the positive comments that respondents offered:

- Each person graduating from this program must produce a final project addressing sustainable, effective, community-based development. Each of these projects affect hundreds of families
- One partnership director mentioned being able to attract many more participants to a training program as part of the ALO grant; thus the program was very cost-effective
- Remarkable results for the investment. Much better than average university programs
- Partnership activities were outstanding given resources devoted to this project

Many partnership directors noted that long-term effects of the partnerships' work need to be considered in calculating cost-effectiveness. Examples include:

- A network of continuing activities and interaction among international professionals is priceless and will have even more future benefits
- Long-term collaborative relationships have been established, which is helpful for capacity building

A few partnership directors said did not have enough funding to accomplish their goals, and the partnership was therefore not cost-effective. Some comments from partnership directors on this include the following:

- The administrative procedures, reporting, and accounting mechanisms were, in the end, greater than the overall resources than their outcomes would justify
- The vast amount of time taken for acquiring visas, on both sides, is too time-consuming and expensive for our university to continue
- Our dual degree program was labor intensive. Given the small number of students in the program (3 non-U.S. and 2 U.S.), the administrative costs were too high relative to the number of students
- Too little amount funding was available for actual program development
- Several respondents commented that USAID is getting an excellent deal through this program. Some partnership directors consider the work the universities do is like a gift to USAID due to the amount of leveraging the universities undertake

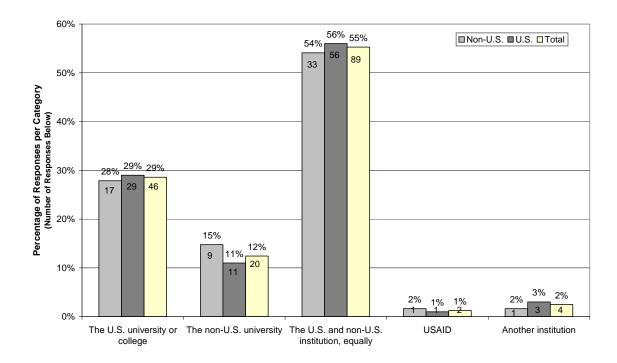
Survey Category: Planning the Partnerships

6. Which institution played the dominant role in identifying the development problem addressed and the kinds of activities carried out under this partnership?

- The U.S. university or college
- *The non-U.S. university*
- The U.S. and non-U.S. institution, playing equal roles
- USAID
- *Another institution (Please identify that institution)*

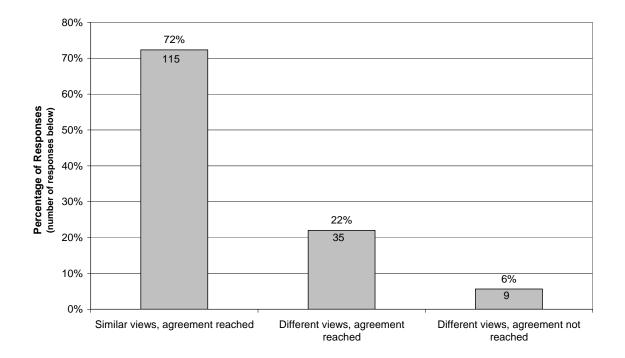
Comments:

These data were disaggregated to determine whether the U.S. and non-U.S. partnership directors had similar or different perceptions about the collegial nature of the planning process. Differences in perception between the two groups were small.



A frequent observation by partnership directors was that non-U.S. institutions often played the major role in identifying the problem, but that the U.S. institution played a larger role in designing the activities to address it. In some cases, institutions outside the partnership played a key role in problem identification or planning.

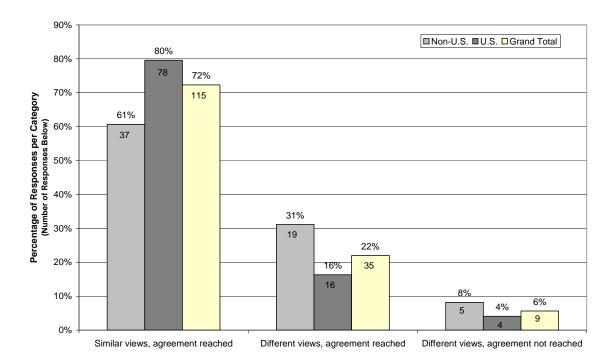
- 7. Which of the following statements best describes the planning process for your partnership?
 - The university/college partners started with very similar views, and were able to reach agreement about objectives, activities, roles, budget, etc.
 - Although the partners started with quite different views about the purpose of the collaboration, through a process of sharing ideas, brainstorming and compromise they reached full agreement on an acceptable plan.
 - The partners initially had quite different views about the purpose of the collaboration, and not all of those issues were fully or adequately resolved during the planning process. Comments:



Of the 159 partnership directors who answered this question, 72% responded that the university/college partners started with similar views, and were able to reach agreement over objectives, activities, roles, budget, etc. Approximately 22% said that partners started with quite different views about the purpose of the collaboration, but through sharing ideas and compromise, reached full agreement on an acceptable plan. The remaining 6% believed that the partners had quite different views about the purpose of the collaboration and that not all of those issues were adequately resolved.

Separating the partnership director responses by U.S. vs. non-U.S. shows some interesting differences. The U.S. partners had a more positive view about the collaboration in the planning process. Of the 98 U.S. partnership directors who answered, 80% considered the partners to have started with similar views, and were able to reach agreement over objectives, activities, roles, budget, etc. However, only 61% of the non-U.S. partners felt the same way. At the same time, 31% of the non-U.S. and 16% of the U.S. partnership directors thought that the partners started with quite different views about the purpose of the collaboration, but through sharing ideas and

compromise, they reached full agreement on an acceptable plan. Along the same lines, almost 8% of the non-U.S. but as few as 4% of the U.S. partnership directors felt that the partners had quite different views about the purpose of the collaboration and that not all of those issues were adequately resolved.

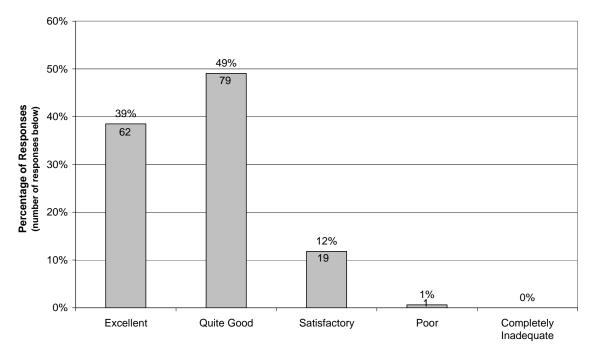


Partnership directors offered a number of interesting observations. One said that budget issues were always a sticking point, stemming from differing attitudes about the access to money for activities not directly related to the project. Some partnership directors mentioned problems due to the non-U.S. partner's role. One stated that the partnership developed problems when the non-U.S. partnership director lost interest in the project. Another wrote that although they had collaborated with the non-U.S. partner in developing the proposal, when it came time to implement, the non-U.S. partner was not clear about the objectives.

8. How would you rate the effectiveness of the planning process for your partnership and preparation of the application?

- Excellent
- Quite good
- Satisfactory
- Poor
- Completely Inadequate

Comments:



The responses for this question were generally positive. Of the 161 partnership directors who answered the questions, almost 39% rated the process as excellent and almost 49% expressed their planning process to have been quite good. About 12% of partnership directors regarded their process as only satisfactory. Only one director ranked the process as poor.

This question was effective in capturing examples of how partnership directors felt about the effectiveness of the planning process of their partnership and preparation of the application. Many comments on this question reinforced the idea that previous collaboration between the universities builds trust and greatly enhances the prospects for success. Along the same lines, a couple partnership directors mentioned the steep learning curve of a first attempt at this type of project. Another element that should not be overlooked is the importance of joint development of the project at the planning stage. Equal participation from the onset leads to a better proposal and a commitment to excellence in implementing the project by all players.

Several PDs mentioned the value of face-to-face meetings of the partners during the planning stage. One even suggested that ALO could require a pre-application, and from that a list of

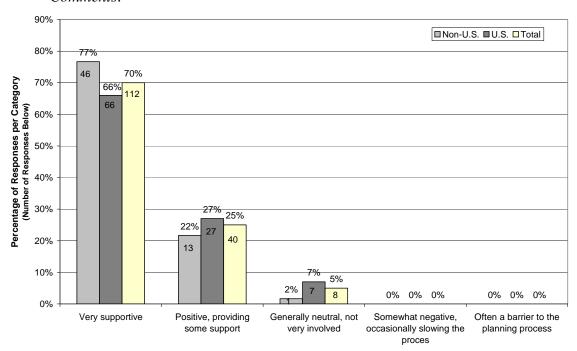
potential grantees would submit a more extensive proposal after having an in-person meeting of all partners.

The biggest hurdles in the planning process seem to have been caused by communication problems and by time constraints in pulling the proposal together. Because some non-U.S. partners did not have e-mail or reliable phone lines, the planning process required patience and a long lead time.

A couple of noteworthy criticisms were mentioned in the comments. One PD noted that he had experienced difficulty obtaining budget information from its U.S. partner. Another non-U.S. PD suggested that higher-level participation (in this case, the Ministry of Education) from the beginning could have avoided problems that arose later.

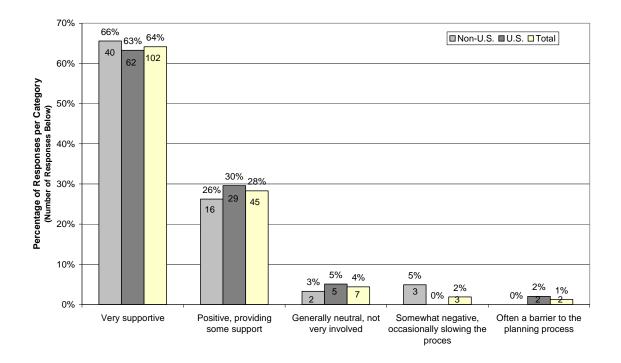
- 9. How would you describe the interest and support from senior level departmental and university leadership for this application?
 - *9a. Within the U.S. university, departmental and university leadership were:*
 - Very supportive
 - Positive, providing some support
 - Generally neutral, not very involved
 - Somewhat negative, occasionally slowing the process
 - Often a barrier to the planning process

Comments:



- *9b.* Within the non-U.S. university, departmental and university leadership were:
 - Very supportive
 - Positive, providing some support
 - Generally neutral, not very involved
 - Somewhat negative, occasionally slowing the process
 - Often a barrier to the planning process

Comments:



On part "a" of this question, more than 77% of the non-U.S. directors and 66% of the U.S. directors believe that the U.S. university was supportive. Almost 2% of non-U.S. PDs and 7% of U.S. directors rated their university leadership as generally neutral or not involved. All other responses stated the U.S. university leadership as positive, providing some support. There were no negative ratings for this question.

On part "b," the answers about the leadership support from the non-U.S. university were more varied than those of the U.S. university. Of the 60 non-U.S. PDs who responded to this question, 66% declared their universities to be very supportive. Similarly, 63% of the U.S. PDs found the non-U.S. universities to be very supportive. More respondents found the non-U.S. leadership to be neutral and not very involved (3% of non-U.S. and 5% of U.S. PDs) than the U.S. university leadership. Interestingly, 5% of the non-U.S. PDs concluded that the non-U.S. leadership was somewhat negative, occasionally slowing the process. Furthermore, 2% of the U.S. PDs found the non-U.S. leadership to have often been a barrier to the planning process.

A number of respondents substantiated their positive ratings, mentioning U.S. university administrators (including U.S. university presidents and deans) demonstrating their support by visiting the non-U.S. partner. A few PDs thought that the U.S. university was not significantly

interested in the partnership application, but later became involved when they understood the value of the program.

At the same time, the comments indicated that some U.S. universities were not supportive. Respondents provided various explanations for this, ranging from U.S. research universities undervaluing this type of linkage to U.S. universities being leery of investing in African universities. A couple of PDs mentioned that the university was not supportive due to the high amount of cost-share that was required and the high administrative workload. One respondent noted that university administrators "did have a problem with the little amount of money and the large cost-share requests." This same respondent reiterated this point by asking the question, "When is USAID going to ask the consulting firms for cost-share?"

A majority of the PDs comments suggested that the non-U.S. partners were very supportive. One respondent noted that cooperation with the U.S. is a way to earn accreditation.

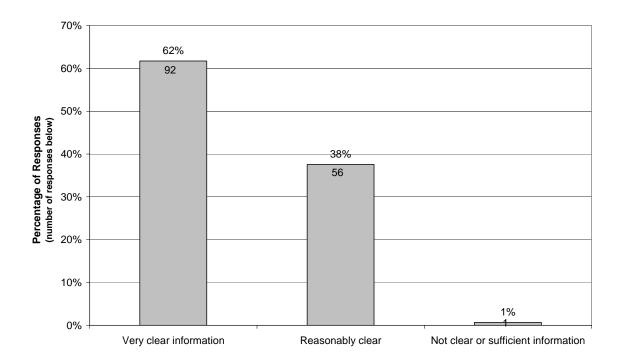
A number of respondents mentioned financial issues. These included:

- The initial planning and budgeting was driven mostly by the U.S.. The non-U.S. partner was concerned that the overhead was too low
- The main constraint for our non-U.S. partner was funding, not lack of desire to provide it
- Financially, the non-U.S. partner was not able to mobilize funds to support the initial stage of the project
- The non-U.S. partner felt that a significant portion of the ALO funds should have been given directly to them to take care of other needs not related to the project
- ALO funds were not available for the non-U.S. partner to make a project related trip to the
 U.S.. Hence, the non-U.S. university expedited the process and made travel funds available
 for the trip

10. Did the Request for Applications (RFA) provide clear and adequate information about the program's objectives, the conditions of awards, application requirements, the application review process and other relevant information?

- Very clear information
- Reasonably clear
- Not clear or sufficient information

Comments:



A majority of PDs, almost 62%, found that the request for applications (RFA) contained very clear information; about 38% said the RFA was reasonably clear. Only one PD answered that the RFA was not clear or that it did not provide sufficient information.

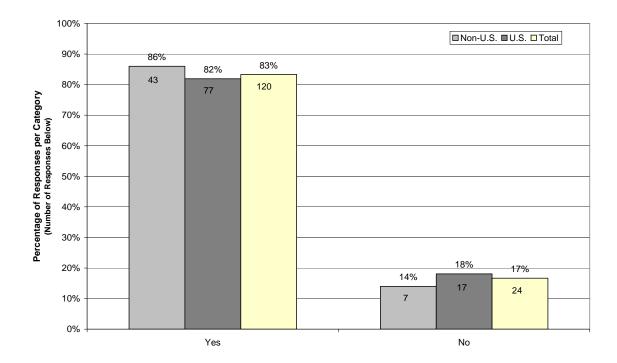
This question was structured to determine whether the RFA provided clear and adequate information about the program's objectives, the conditions of awards, application requirements, the application review process and other relevant information. Most comments echoed the high percentage above, with positive comments. Several PDs lauded the ALO staff for always being helpful and available to answer questions.

A number of suggestions were offered for improving RFAs. A few mentioned not being aware they were expected to fund travel to the ALO conferences and that this should be clearly indicated in the RFA. Other funding issues were raised such as the instructions for preparing the budget being complex and lacking clarity. One PD recommended that ALO establish a fixed policy for the institutional overhead rate so that there is not a cumbersome negotiating process for this.

11. Did the RFA provide adequate time for the development of your application, including collaboration with your partner and discussions with higher-level university authorities?

- Yes
- No

Comments:



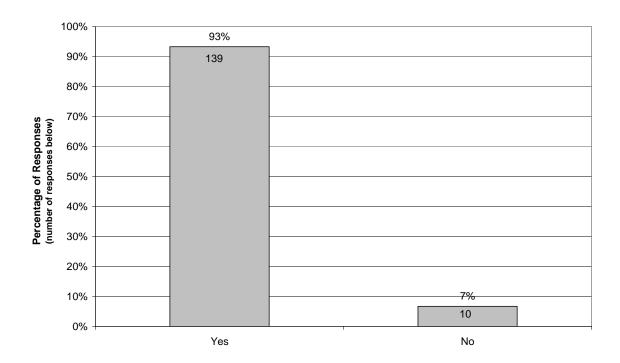
Responses were similar from non-U.S. and the U.S. PDs. The majority (82% of U.S. and 86% of non-U.S.) answered that adequate time was provided.

Most comments were from PDs who considered the timing to be tight. Many noted the time lags in correspondence with partners in developing countries. A specific request was made to be given three to four months to develop the proposal.

12. Did you find the level of specificity that you were required to include in your application about objectives, activities, budget and other elements to be reasonable?

- Yes
- No

Comments:



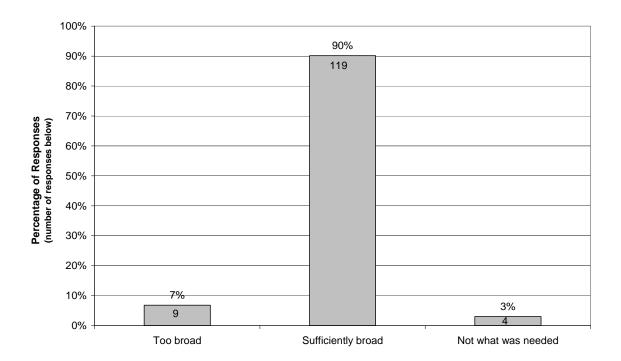
Most comments provided addressed criticisms of the financial section of the proposal. Several comments indicated that the budget instructions were too rigid. Many said the required detailed was too specific and did not allow flexibility. Partners encountered problems when costs surfaced for which they had not planned. One PD suggested that ALO allow a miscellaneous expense item, whereas another claimed that the budget lacked specific detail on indirect and direct costs. Another mentioned the difficulty in clearly identifying the monetary value of the matching university contribution, because most of its contribution was in-kind and scattered.

A few respondents suggested that the application process is onerous, especially in view of the small size of the grants and the possibility of not receiving the funding.

13. ALO's Request for Applications (RFA) specified the broad areas in which applications could be submitted. Which statement best describes your view of the guidance provided?

- The technical areas specified in the RFA were too broad. It would be better to give interested universities more guidance on the topics that USAID sees as particularly important.
- The technical areas were sufficiently broad to give some guidance without restricting our options.
- The technical areas specified in the RFA led us to move away from what we thought was needed.

Comments:



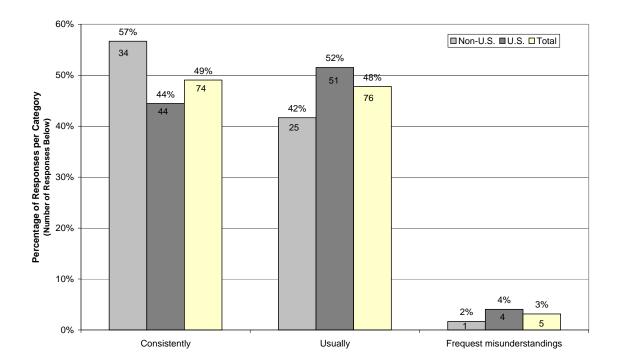
Of the 132 PDs who answered this question, 7% thought the technical areas specified in the RFA were too broad and that it would be better to give interested universities more guidance on the topics that USAID sees as particularly important. As many as 90% of respondents answered that the technical areas were sufficiently broad to give some guidance without restricting their options. Only 3% of respondents indicated that the RFA guidelines had caused them to shift their proposals away from what they perceived as needed.

Few PDs elected to comment on this question. One PD thought the category was too restrictive and limited their multidisciplinary approach. Another suggested that more guidance be provided on the topics that USAID sees as important.

Survey Category: Implementing Partnership Activities

14. Did the partners share the same view of their respective roles and responsibilities?

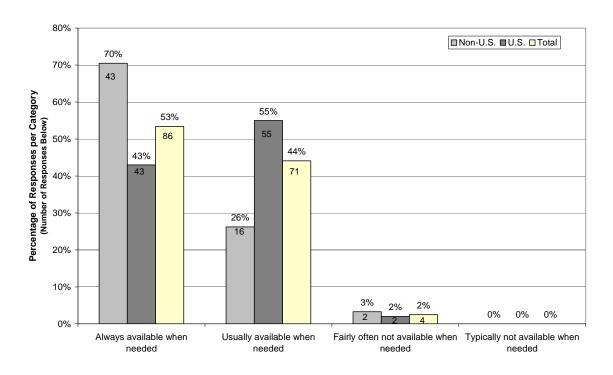
- Consistently from the outset.
- Usually, but the expectations about these roles sometimes needed to be clarified or adjusted.
- There were often misunderstandings about roles that needed to be negotiated.



Almost 57% of non-U.S. PDs believed that they consistently shared the same view of their roles and responsibilities as their U.S. partner, whereas the U.S. response was much lower, at 44%. About 42% of the non-U.S. and 52% of the U.S. directors replied that the partners usually share the same view of their roles, but that the expectations about these roles sometimes needed to be clarified or adjusted. Whereas only 2% of the non-U.S. directors thought that there were often misunderstandings about roles that needed to be negotiated, as many as 4% of the U.S. had this complaint.

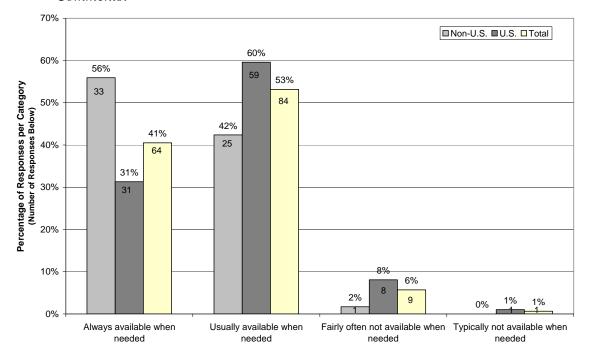
- 15. Which of the following statements best describes the availability of college or university faculty (professors and other professional staff) to work on partnership activities?
 - > 15a. Professors and other professional staff from the U.S. college or university were:
 - Always available when needed
 - Usually available when needed
 - Fairly often not available when needed
 - Typically not available when needed

Comments:



- ▶ 15b. Professors and other professional staff from the non-U.S. university were:
 - Always available when needed
 - Usually available when needed
 - Fairly often not available when needed
 - Typically not available when needed

Comments:



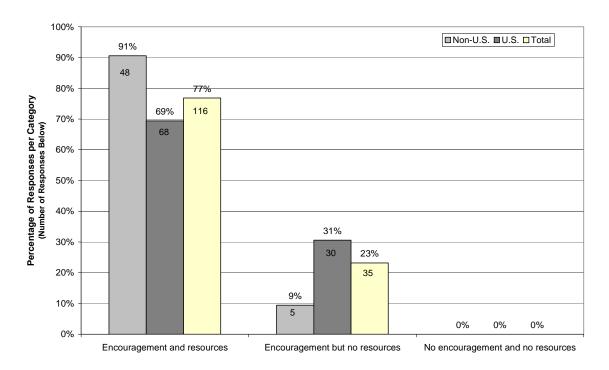
The responses suggest that faculty members from both the U.S. and non-U.S. partners are generally available when needed. Interestingly, the non-U.S. PDs gave higher ratings to professors and staff on both sides than did the U.S. PDs, as indicated by the larger percentage of responses in the "always available" category. This might suggest that the U.S. PDs are more committed to the partnership's schedule or that they have tougher standards.

Comments were not extensive. With respect to the availability of U.S. faculty (part "a" of the question), several PDs commented that U.S. university faculty members were short of time due to heavy teaching loads and to other responsibilities. Several comments specifically attributed the occasional lack of attention by U.S. professors to their time being donated (i.e., considered an in-kind contribution under the cost-share element of the agreement).

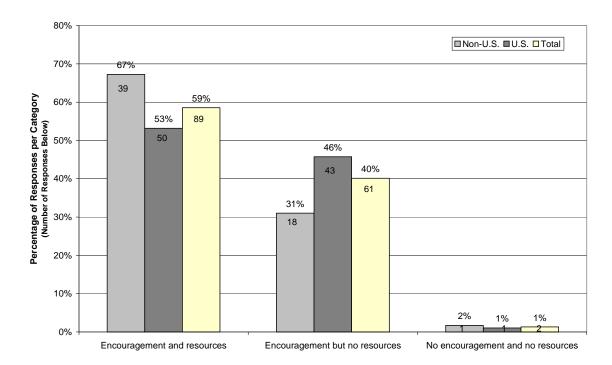
With respect to the participation by the non-U.S. faculty and staff (part "b" of the question), many PDs mentioned that a change in personnel at the non-U.S. university disrupted the program. A couple of PDs noted that the non-U.S. personnel were somewhat under-qualified to carry out the project activities. As with the U.S. faculty and staff, there were references to the non-U.S. staff not being able to dedicate appropriate time to this "extra" project due to their responsibilities in their paid work commitments. Other factors mentioned include the political environment (i.e., war), illness, and communication impediments in developing countries.

16. During the grant period, which of the following statements best describes the higher-level support for this partnership activity?

- ► 16a. Within the U.S. college/university:
 - There was encouragement and the college/university allocated or shifted resources to support this program.
 - There was verbal encouragement, but few resources could be made available.
 - There was little or no interest, support or resources.



- > 16b. Within the non-U.S. university:
 - There was encouragement and the college/university allocated or shifted resources to support this program.
 - There was verbal encouragement, but few resources could be made available.
 - There was little or no interest, support or resources.



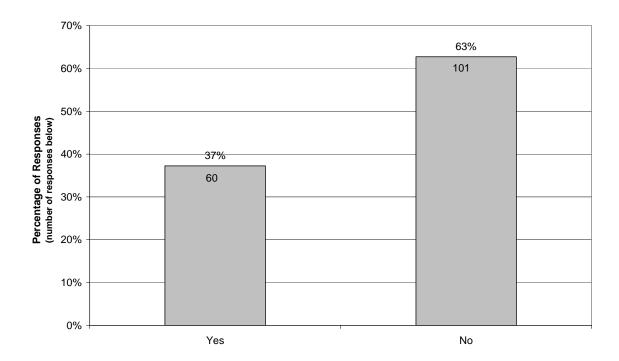
With respect to higher-level support at the U.S partner, the overseas PDs tend to see the support as more substantial than do the U.S. PDs. Ninety-one percent of non-U.S. PDs answered that the U.S. universities were providing financial resources as well as encouragement, whereas only 69% of U.S. PDs held this view. Proportionally, many more U.S. PDs (31%) than non-U.S. PDs (9%) see the U.S. university as providing verbal encouragement but no resources. None of the PDs felt that that the U.S. universities provided neither encouragement nor financial support.

With respect to higher-level support at the non-U.S partner institution, overseas partners again rated the performance more highly. Sixty-seven percent of non-U.S. PDs, whereas 53% of the U.S. PDs answered that there was encouragement and resources to support this program.

17. Did you need to make significant changes in your partnership plans during the implementation period?

- Yes
- No

If yes, please describe the changes briefly:

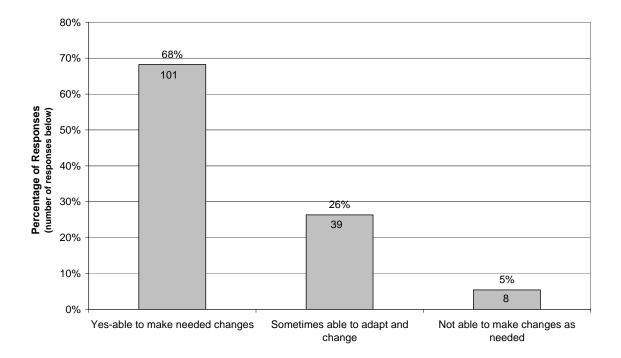


This question was designed to determine whether and what types of changes were made in the partnership plans during the implementation period. Several themes surfaced in the comments. One important theme was timing. Many partnerships had to extend the period of their grant to accomplish their goals. Many PDs mentioned that obtaining U.S. visas for either faculty or student travel posed a serious problem. Many travelers received visas late or not at all. Even more comments mentioned personnel changes within the partnership that caused lulls in activity. Lack of participation on either side of the partnership created extra work for numerous PDs. One PD emphasized the trouble caused by the non-U.S. PD who refused to travel to the U.S., even though he had agreed to do so in the planning stage. Difficult communications in developing countries had a great impact on meeting deadlines for many partnerships. Several partnerships progress was disrupted by war.

Another major theme was <u>budgetary constraints</u>. Some partnerships did not have enough funding and had to modify the program accordingly. One PD mentioned the trouble encountered when the <u>value of the dollar</u> dropped drastically compared to the non-U.S. currency of that partnership. A couple of PDs criticized the <u>ALO disbursement system</u>. One had the understanding that funds would be available prior to project implementation and when this was not received some initiatives had to be dropped. Another cited being awarded the ALO grant in March 2002, but not actually signing the agreement until late July 2003.

18. Does the ALO grant award allow partners sufficient flexibility to make needed changes as the partners learn from experience or because of political, economic or organizational changes?

- Yes- able to make needed changes
- Sometimes able to adapt and change
- Not able to make changes as needed



19. Please briefly describe the most serious obstacle(s) that arose during the implementation of partnership activities and how it/they were handled.

The responses to this inquiry were rich and informative, oftentimes providing more detail about the implementation problems noted in Question 17.

<u>Funding/Budget</u>. Partnership directors mentioned the following issues:

- A problem for some was the delay in time that it took to award the grant money. Because of delays, preliminary activities either had to be cancelled or supported financially by the implementing institutions. One partnership indicated that it had not been notified that it had been awarded a grant until shortly before the published start date.
- Transferring dollars from the U.S. to overseas institutions is sometimes complex, requiring the partners to deal with monetary controls, tax, and additional overhead issues.
- The U.S. partners often need to explain U.S. Government accounting procedures and requirements to their overseas partners.
- Accounting for the "cost-sharing" is onerous and time-consuming.

- Several PDs suggested that ALO budgeting guidelines are too rigid. They would like to see partners given added flexibility to make budget modifications "without having to secure prior approval, which can cost value time."
- Several PDs mentioned that overhead and supplies should be included in the budget

<u>Partner Relations</u>. Some PDs noted their major obstacle as poor relations with their partner institution.

- Several PDs noted resentment from overseas institutions that all ALO partnership funding goes initially to (and much of it stays at) the U.S. partners.
- The inequality of salary levels can be an issue. One PD wrote that, "north-south collaboration requires 'north' institutions to treat 'south' counterparts equally, especially in terms of compensations. This was not easy to accomplish."
- Several U.S. PDs mentioned that their overseas partners sometimes wanted to use ALO funding for non-partnership purposes, requiring the U.S. partner to exert discipline.

<u>Communication</u>. Several respondents suggested that ALO could sometimes do a better job of providing information to the grant recipients. One PD mentioned having difficulty getting the August 2003 conference because of the short notice from ALO.

<u>Grant Length</u>. A plethora of comments suggested that the grant length is too short to implement sustainable changes. One PD advised "there needs to be continuity if the investment is going to last, and this means the two-year limit is very unfortunate."

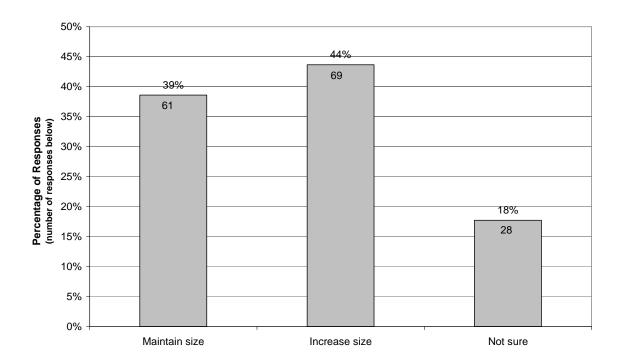
<u>Continuation Grants</u>. One PD mentioned the need for a more significant bridge between the completion of the USAID/ALO university partnerships and further USAID funding consideration.

Characteristics of the Grant Award

20. Most ALO Grants are for less than \$125,000. With which of the following statements do you most agree?

- ALO and USAID should maintain the current dollar limits on grant size in order to permit a high number of education partnership awards.
- ALO and USAID should increase the amount of the grants, even though it means supporting fewer partnerships.
- Not sure

Please explain your answer



Of the 158 responses to this question, almost 39% believe that ALO and USAID should maintain the current dollar limits on grant size in order to permit a high number of education partnership awards, about 44% think that ALO and USAID should increase the amount of the grants, even though it means supporting fewer partnerships, and almost 18% were unsure.

With this question, the assessment team was trying to collect input and opinion on whether the grant size of \$125,000 or less is adequate. Respondents were roughly split between supporting the current size and number of partnerships vs. supporting larger grants and fewer partnerships. Many responses suggested that the dollar size of ALO grants makes it difficult to pay for the multiplicity of program expenses, including travel expenses and attendance at the ALO annual conference. Some respondents suggested additional (separate) funding for resources (material and equipment) and actual project activity such as further research. Several respondents suggested that ALO and USAID should focus on the quality rather than the quantity of partnerships. Several commented on the need for start-up grants. Other comments relate to the

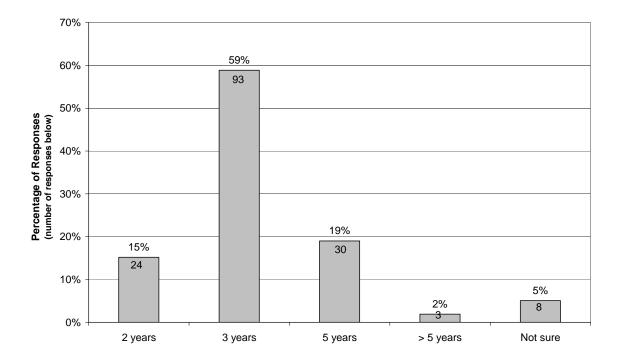
unstable nature of exchange rates, especially when the value of U.S. dollar presents a great constraint.

Selected comments worth noting are the following.

- A great deal of money is used in travel for faculty exchanges. However, resources should be available for materials and equipments too.
- The amount of project funds provided by ALO only helps to create partnerships, and does not allow partners to do some practical project work. Enough funding should be allocated by ALO to implement some of the visions developed under the initial ALO grant.
- ALO/USAID should fund projects that can have a major impact even if the number of projects funded is less.
- If real results are to be realized, then financial obstacles need to be removed. Offering more partnership on miniscule budgets sacrifices quality.
- ALO grants are seen as a means to start the process that needs to acquire new funding from other sources.
- The fund supports the initial collaboration. Partners should look for other sources of fund for their collaborative activities after the project ends.
- Grants of up to \$200,000 would be more practical and more attractive based on current costs.
- Travel from the U.S. takes up a significant chunk of the budget and additional amounts are used for attending the annual ALO meetings. Our project locations are in distant rural areas that also increase the cost of travel, administering the project, transportation of items to the project site, etc.
- The grant size does not leave you with enough room to expand to do much. You are in a sense compelled to work with less.
- Changes in exchange rate can, to a large extent, complicate original plans. A very large part of the funds goes to the U.S.-university and in comparison the host university and project participants have access to a small part of the grant.

21. In your judgment, what should be the time limit for implementation of an ALO award?

- 2 years
- 3 years
- 5 years
- > 5 *years*
- Not sure

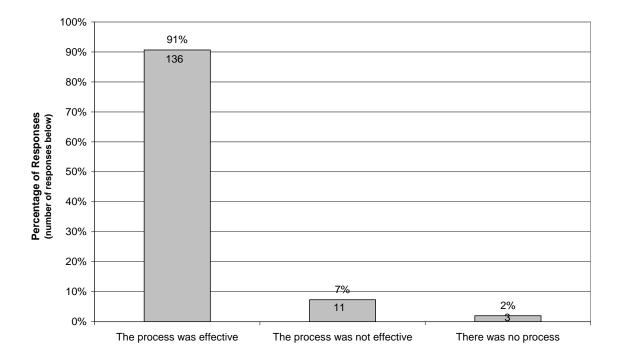


The responses suggest that more than two years is needed to implement an ALO award. Out of 158 respondents, 15% thought that two years should be the time limit for implementation of ALO awards while 59% believed that the time limit should increase to three years. Nineteen percent of respondents chose 5 years, 2% stated that it should be more than 5 years, and 5% were not sure.

Monitoring and Reporting

22. Did the partners adhere to an evaluation, assessment and reporting process that was effective in keeping the partners, USAID and ALO informed?

- Yes, the process was effective.
- The process was not very effective.
- There was no evaluation or assessment process in our partnership. Comments/Explanation:



Out of 150 responses, 91% believed that this process was effective, 7% thought that it was not effective and 2% indicated that there was no process at all.

The responses show that the majority of the PDs consider the current systems to be effective. However, there were many difficulties in this process. For example, there were communication barriers with non-U.S. partners, the burden of reporting was mainly on the U.S. partners, and very limited access to input from non-U.S. partners.

Selected comments from partnership directors are listed below.

- The reporting was excellent based on the quarter for receiving ALO funding.
- We are submitting a six months progress report to ALO according to their reporting procedure. I think it is important for both donor (ALO) and the partner institution to keep track of their activities and if things are done according to plan.
- The required reporting was a pain, and can't have produced any important information. One report at the end of the project is reasonable, but not frequent reports.
- I think that the rate of evaluation is rather excessive.

- Too many reports, often duplicating each other.
- Data were not always forthcoming from the international university and this resulted in reporting problems.
- The process was effective, although it was tedious and too oriented to financial outcomes.

There were also a few comments about USAID Mission and their interaction with partnerships. Examples of these include the following.

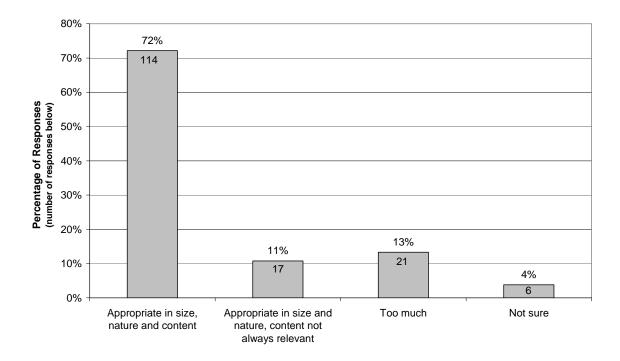
- Missions became very interested in the reporting once they learned that project supported their SOs.
- We had a difficult time getting USAID to pay attention to our project during this past year... We were unable to get a meeting with USAID to share our work... I think it would be very good if there were a grant requirement to meet with USAID at least twice during the grant funding. In this way, USAID would get onsite feedback that could benefit both the U.S. and the non-U.S. institution.

Several respondents commented on the fact that non-U.S. partners are not given enough opportunities to contribute to these reports. Some examples are the following.

- I understand that this is done through our U.S. university.
- Not that I know of as a foreign partner.
- While the non-U.S. partner made inputs in the reporting, the final report was only seen after it was handed in at ALO; sometimes not.

- 23. The reporting that USAID and ALO required on this partnership was:
 - Appropriate to the size and nature of the activity and appropriate in content
 - Appropriate to the size and nature of the activity but required information that was not very relevant to the activities and goals of our partnership activity
 - More than should be required for grants of the size provided
 - Not sure

Comments



This question had 158 respondents. Of these, 72% stated that the reporting was appropriate in size, nature and content. Eleven percent believed that the reporting was appropriate in size and nature but the content was not always relevant. Thirteen percent of the respondents thought that the reporting was too much, and 4% were not sure.

This question asked partnership directors whether ALO's reporting requirements were appropriate and effective. Most comments allude to the reporting being appropriate and at times helpful, but some said it was excessive.

Examples of comments:

- The reporting needs to be modest.
- I think that, overall, the reporting is appropriate. However, having financial and cost-sharing reports due every three months is a lot of process through university systems. It took a lot of work for the PI and accounting offices on campus.
- Reports required too often with unreasonable expectation as to what can get done given time and \$\$ available.

- Given that the USAID contribution to this project was not much more than 10% of the total value of the project, the reporting requirements seemed excessive. We could not report on 10% of the project; we had to report on the entire project.
- There was more concern for financial leveraging than technical accomplishments.
- Compared to other grants, I found the USAID/ALO grant reports to be very detailed and sometimes repetitive.

Several respondents commented on the lack of feedback from ALO or USAID.

- Especially since, no matter what we wrote, there was never any response or interest. We could have written anything.
- As above, this was a waste of my time and yours (provided that anybody ever read it, which I doubt).

Cost-Sharing

24. Most RFAs required a minimum 25 percent cost-share. Based on your experience, which of the following statements about cost-sharing is true? (You may mark more than one response.)

- Most or all of the contributions were "in-kind" and did not require additional budgetary resources.
- The universities in our partnership were able to budget significant additional financial contributions to the program.
- Obtaining resources from the universities has been exceedingly difficult, and the effort to obtain those resources distracts those trying to implement the program.
- Although obtaining resources is difficult, the effort to obtain such resources strengthens the university's perceived and real commitment to the program.
- Partnerships that make the effort to cost share are more likely to have a source of financing to continue activities after USAID/ALO sponsorship ends.
- The cost share requirement may keep my university from participating in future USAID/ALO Institutional Partnership programs.

There were 154 respondents to this question. Respondents could choose more than one answer:

- 55% (84 PDs) felt that most or all of the contributions were "in-kind" and did not require additional budgetary resources.
- 21% (33 PDs) thought the universities in the partnership were able to budget significant additional financial contributions to the program.
- 14% (22 PDs) stated that obtaining resources from the universities had been exceedingly difficult, and the effort to obtain those resources distracted those trying to implement the program.
- 26% (40 PDs partnership directors) answered that although obtaining resources was difficult, the effort to obtain such resources strengthened the university's perceived and real commitment to the program.
- 21% (33 PDs) felt that partnerships that made the effort to cost share were more likely to have a source of financing to continue activities after USAID/ALO sponsorship ended.

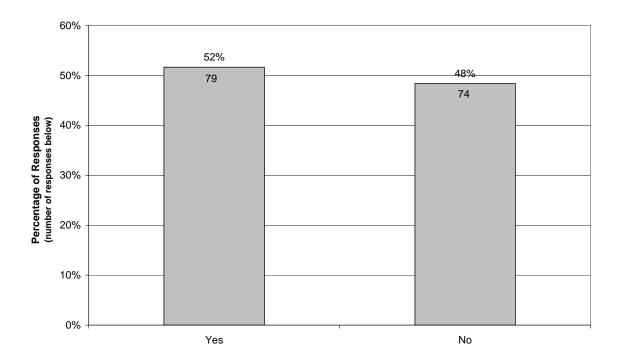
• 19% (30 PDs) believed that cost share requirement may keep their university from participating in future USAID/ALO institutional partnership programs.

The purpose of this question was to obtain the views of PDs about cost-sharing, both about the difficulty in getting their respective universities to budget for the partnerships and about the possible longer-term consequences of the matching requirement. The responses suggest that PDs do not see the matching requirements as terribly onerous, since most of the match is "in-kind." A small but significant minority acknowledged that matching may have positive benefits: 26% as showing the university's commitment to the program and 21% as increasing the likelihood of sustainability. However, 19% saw the university's discomfort with the match as potentially keeping the university from participating in similar programs in the future.

25. Did the partnership obtain resources from public or private sector sources (other than USAID/ALO and the participating partner universities)?

- Yes
- No

If you answered "yes" please indicate where the additional resources came from the estimated dollar value of those resources.



There were 153 responses to this question, of which 52% responded that they had been able to obtain other resources, while 48% responded that they were not able to obtain resources from other public or private sector sources. These are some examples of funding sources:

- Private individuals, mainly within university faculty
- Private U.S. industry

- Non U.S. private firms (i.e., Ghana Airways)
- Private foundations (Hewlett Foundation, Packard Foundation, Gates Foundation, MGM Foundation, Ford Foundation)
- U.S. state government
- U.S. local government (i.e. Chamber of Commerce)
- Non-U.S. Government (Ministry of Science in Romania)
- U.S. Government (NIH /Fogarty International Center, USDA/FAS, USFWS, U.S. Department of Education)
- Other USAID funding (UNCFSP, disaster relief funds, EDDI)
- Bilateral organizations (i.e., Texas/Mexico Border Coalition)
- U.S. NGOs (MERLOT, Conservation International, ACDI/VOCA)
- International organizations (United Nations, World Bank, FAO)
- Farming organizations

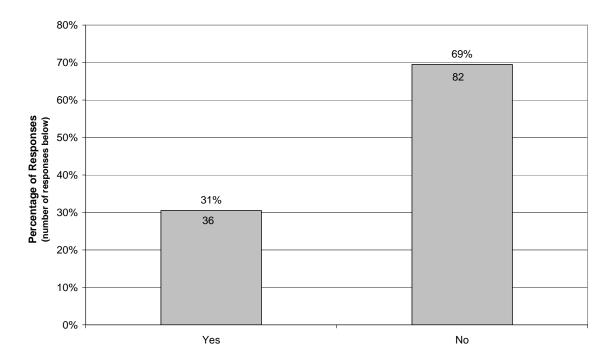
The amount ranged from \$500 to \$450,000 (EDDI), with an approximate average of \$80,000. However, most comments indicated that the most important contributions were in-kind.

USAID's Role

26. Did the USAID Mission make substantive suggestions to you about the application, either before or after it was submitted to ALO?

- Yes
- No

If yes, please describe



Out of 118 respondents, 31% believed the USAID Mission made substantive suggestions to the partnerships about the application, either before or after it was submitted, and 69% responded that USAID had not.

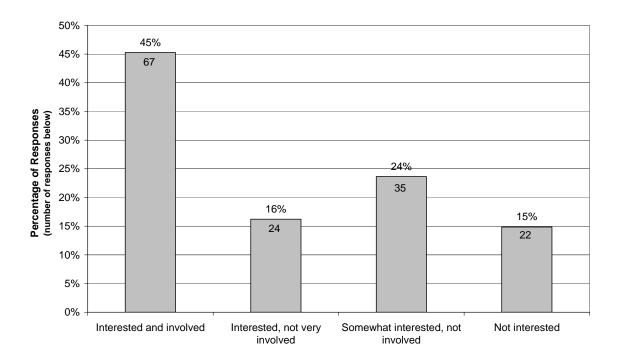
In general, most comments indicated that the USAID Missions were very supportive and gave useful and strategic directions. Selected comments included the following.

- USAID was very helpful in the design and promotion of this linkage.
- They strongly supported our proposal and wrote support letters to ALO when we submitted the proposal.
- They provided feedback on the proposal, especially related to the exchange criteria for non-U.S. institutions partners.
- They were helpful in explaining what needed to be done.
- Yes, they made us aware of the program and helped us prepare the proposal.
- They were very friendly in supporting the program.

Some comments reflected that the USAID Missions made suggestions, albeit unsubstantive, or that they showed no interest in the project before the grant was awarded.

- We met with the Mission on several occasions and benefited from the supportive nature of the general discussions but did not receive specific comments about the submission to ALO.
- While answers to some questions were provided, these could not be described as substantive suggestions.
- They made suggestions, but I would not say they were substantive.
- The AID Mission provided no input before the application but was a very enthusiastic partner once the project was approved and work was in progress.
- After submission and during implementation.
- After the award, USAID was quite helpful with suggestions.
- The Mission did not seem particularly interested in the project.

- 27. Which of the following best describes the local USAID Mission's interest in your partnership?
 - One or more USAID staff members see this program as central or very important to the USAID development strategy in this country and have been involved in a number of discussions about the partnership award program.
 - One or more USAID Mission staff members are interested in the partnership program and monitor progress, but rarely if ever meet with those implementing partnership activities.
 - One or more USAID Mission staff members have indicated their general support for the partnership, but they do not discuss progress or issues with us.
 - USAID Mission staff members have no apparent interest in this partnership.



Forty-five percent of respondents said that one or more USAID staff members saw this partnership as central or very important to the USAID development strategy in their country and had been involved in a number of discussions about the partnership award program. An additional 16% stated that one or more USAID Mission staff members were interested in the partnership program and monitored its progress, but rarely if ever met with those implementing partnership activities. About 24% answered that one or more USAID Mission staff members had indicated general support for the partnership, but they did not discuss progress or issues. Finally, 15% stated that USAID Mission staff members had no apparent interest in the partnership.

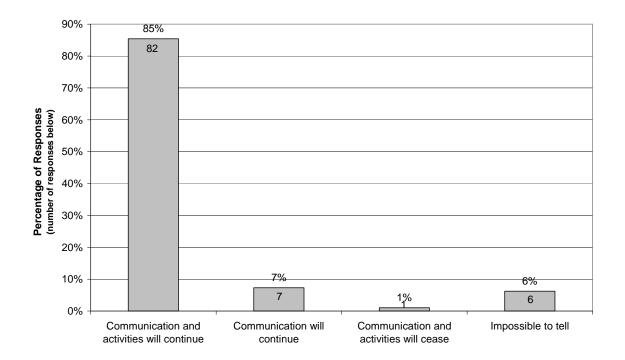
These responses suggest a higher level of USAID interest then was apparent in the field interviews conducted by the assessment team.

Sustainability of the Partnership

28. Please respond to either question (a) or (b) below depending on whether your ALO grant partnership program is active (defined as those in which the USAID/ALO funding is still being utilized) or completed (defined as those in which the USAID/ALO funding has ended).

- > <u>28a. For active partnership awards only</u>, which of the following is most likely when the USAID/ALO funding ends:
 - Communications and joint activities between the university partners will continue
 - Joint activities will cease but communications will continue
 - Joint activities and communication will end
 - It is impossible to predict whether the relationship will continue.

Comments:

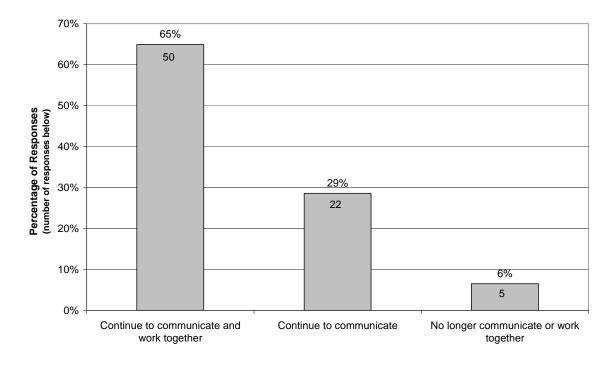


For those with an active ALO grant, 96 responses were received. More than 85% stated they believed communication and joint activities between the university partners would continue. Around 7% believed that joint activities would cease but communication would continue. Only about 1% thought that both communications and joint activities would end once the grant had finished, and another 6% said they could not predict the future of the partnership.

Most comments expressed the need and the strong interest from both partnerships to continue communication, as well as the projects itself. Some indicated that the projects had been so successful that the partners were fully determined to look at possible ways of expanding the project and to find other sources of funding, as they know USAID/ALO would not continue to extend funding. Some examples of comments are the following.

• Sustainability of the partnership is central and many options are being explored.

- I expect that we will seek funding for new activities.
- We are now discussing an expansion of this project to cover all secondary schools. This requires additional funding and we hope we can find a sponsor.
- We have been partners since 1999. We have other grant funds, which will continue beyond the life of this project, and [we] intend to pursue additional funds to continue the work this specific project has begun.
- The two partners are trying to find a way of continued joint activities, not necessarily under USAID. (USAID has already indicated it will not extend the life of this project).
- I am optimistic but it certainly would be beneficial for AID to consider allowing successful partnerships to be renewed for at least another year to ensure sustainability.
- Partnership activities will definitely continue. Projects of such nature are not entirely dependent on USAID funding.
 - > 28b. For completed partnership awards only, which statement best describes the current relationship between the partnering institutions?
 - The partners continue to communicate and to work together on joint activities.
 - The partners are sill in communication with each other, but they are no longer working on any joint activities.
 - Communications and joint activities between the partners have ended.



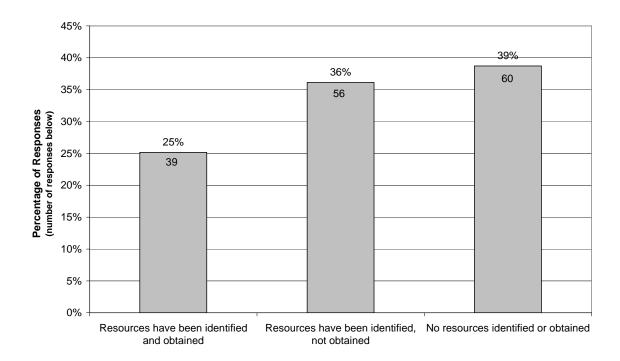
Out of the 77 responses regarding completed partnerships, 65% reported continuing communication and joint activities. An additional 29% stated that partners were still in communication with each other, but they are no longer working on joint activities, and 6% indicated that communications and joint activities between the partners had ended.

Most comments indicated that the ALO grant strengthened the relationship between the partners and encouraged them to seek other opportunities to expand their activities. A primary cause of partnerships ending seems to be that key faculty members retire or are no longer affiliated with the project.

Selected comments from PDs include the following.

- This partnership is enduring and we continue to strategize with our partners to develop additional projects.
- Unfortunately, my co-director on the South African side was forced to retire by South African regulations (all faculty 60 years of age must retire).
- I am no longer at [institution name] and there was no one there to continue the partnership.
- 29. Have the partners identified and obtained financial resources that will enable the partnership to continue after ALO grant funds are fully expended?
 - Yes, resources have been identified and obtained
 - Resources have been identified, but not yet obtained.
 - No, resources have been neither identified nor obtained.

Comments:



Out of 155 responses to this question, 25% have been able to identify and obtain resources to continue their partnership. Thirty-six percent have identified resources but have not yet obtained funds, and 39% have neither identified nor obtained additional resources.

Most comments reinforced the notion that many universities were in the process of identifying sources of funding; however, they believed that it would be difficult to obtain them. The sources

of funding that had been identified and obtained were mainly through the universities themselves, but some were also through other USAID programs and initiatives. Selected comments include:

- The funding comes from within the university in the form of assistantships.
- The partnership received additional funding from EDDI/USAID of approximately \$300,000 to build and sustain for one year that first university-based community resource center in Africa.
- Resources have been obtained to continue working with a handful of institutions, but not on the original purpose of the ALO grant.
- Our university will use its resources to continue the program.
- Our university continues to support exchanges with our partner university.

Networking and Disseminating Information about Partnerships

30. With what audiences have you shared information about this partnership? (You may choose more than one response.)

- Faculty within the department
- Other faculty members in the university or college
- Broader professional networks
- USAID personnel
- Others

There were 158 responses to this question:

- 78% (126 PDs) said they shared information about their partnership with faculty within the department.
- 89% (141 PDs) shared information with other faculty members in the university or college.
- 67% (106 PDs) shared it with broader professional networks.
- 57% (90 PDs) shared their information about their partnership with USAID personnel
- 40% (63 PDs) responded that they shared their information with others.

The responses suggest that information about the partnerships is shared with faculty members and within the higher education communities.

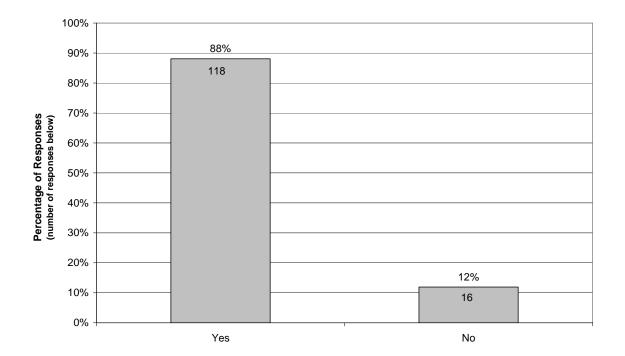
31. Please describe the most effective ways you have used to disseminate information about partnerships.

These were the most effective ways as noted by respondents:

- Conferences (organized by universities, ALO, and other international organizations such as the World Bank, UNDP, and other U.N. agencies)
- University Website
- Newspaper articles, publications in professional magazines, university newsletters
- Presentation to faculties of other universities

32. Do the annual ALO partners meetings (the ALO Synergy in Development Conferences) and the periodic reports provide adequate means to share information about partnerships among the participating institutions?

- Yes
- No



33. What (if any) additional dissemination methods should be employed to increase interest in and support for ALO university or college partnership?

Responses ranged from suggesting a change in the timing of the ALO conference to recommending innovative ways of communicating, such as creating chat rooms for the partnerships. Below are selected responses:

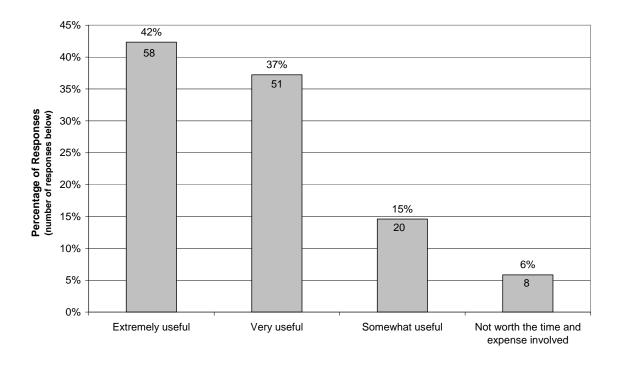
- The current arrangement is effective.
- Chat room and website testimonials that include success stories.
- The ALO meeting is at the worst possible time. It is between summer and fall semesters.
 Overseas partners who combine the ALO Synergy Conference with a campus visit do not get the opportunity to see the colleges and universities in session.
- ALO synergy in development conferences could be organized at the level of USAID country Mission. Such conferences could involve NGOs and civil society groups with similar research agenda.
- More opportunities should be made available to present results to USAID.
- ALO should have their program officers visit successful projects with a video and PR crew.
- The ALO Synergy Conference needs to be expanded to include invitations to other funding agencies, both public and private, that are also interested in international development.

Grantees should make significant efforts to publish their findings as well as present at various of their professional organizations.

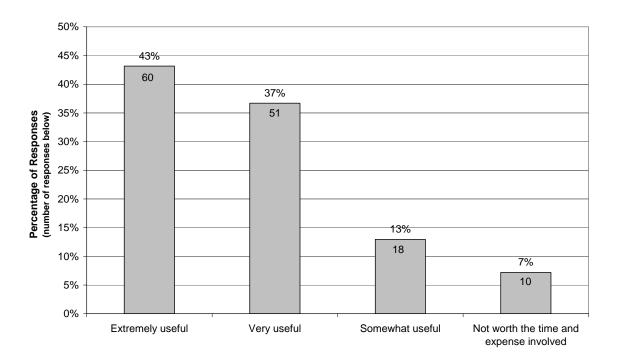
- Newsletters, community newspapers, public information bulletins.
- Develop a better ALO Web page.
- One PD's negative comment stands out: "I don't see the purpose of just dissemination of
 information when you don't provide enough funds for a long enough period of time to
 maintain a program."

34. How would you assess the usefulness of the annual ALO Synergy in Development conferences in terms of the following benefits?

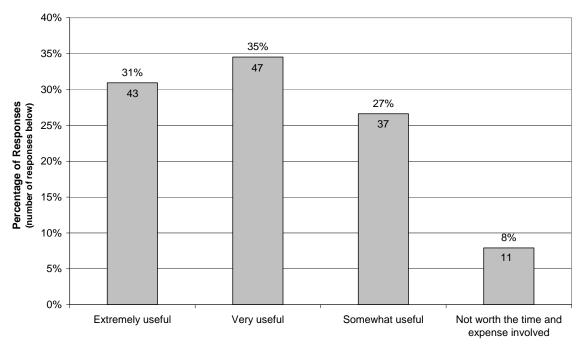
- Extremely useful
- Very useful
- Somewhat useful
- Not worth the time and expense involved
 - > 34a. Learning about other partnerships



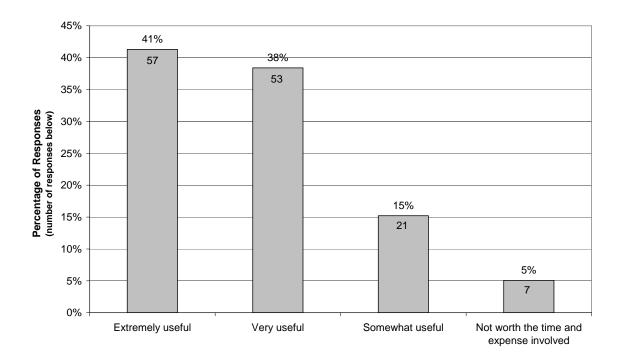
> 34b. Meeting people in other colleges and universities that have similar interests



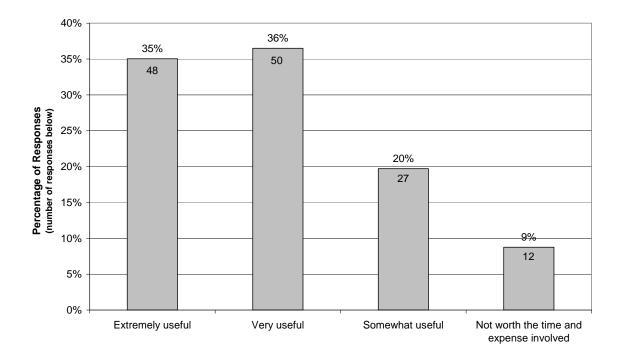
> 34c. Discussing technical issues with peers



> 34d. Sharing information about the partnership in which you participate



> 34e. Meeting with the ALO staff to resolve issues

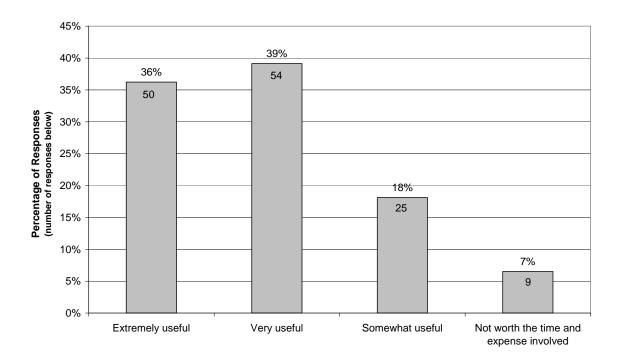


> 34f. Please indicate any other important benefits from the annual conferences not included above.

Respondents see networking as the most beneficial outcome of the conferences. Other repeatedly mentioned benefits include learning about the diversity of projects and having the opportunity to share experiences about implementation issues.

- 35. Overall, how useful are the annual conferences?
 - Extremely useful
 - Very useful
 - Somewhat useful
 - Not worth the time and expense involved
 - I have not attended

Comments



Most of the 138 respondents viewed the conferences as useful. However, it is noteworthy (particularly in light of the positive responses to most survey questions) that 18% of respondents rated them as only *somewhat useful* and 7% rated them as *not worth the time and expense involved*.

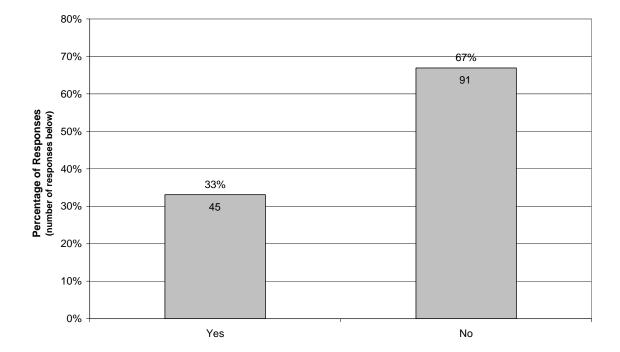
Comments to this question were similar to the comments given to Question 34e. Respondents believed that the conference provided partnership directors an excellent opportunity to network and learn about other partnerships. However, some PDs thought the conference should be more focused and less costly and elaborate.

Selected comments are the following:

- Would be more useful if we knew what priorities and strategic interests USAID has and how proposals are evaluated by peers.
- The conferences are useful, but costly, given that one must fly in their international partner for a conference that only lasts 2.5 days.
- My main hesitation about the annual conferences are the terrific expense involved for both the U.S. and overseas partners.
- The interests among partners are too varied, thus lacking focus on specific themes around which to build common interest.
- My main hesitation about the annual conferences is the terrific expense involved for both the U.S. and overseas partners. Also, the new TraiNet and J-1 visa requirements have been a significant drain on staff time.
- This may not be true now, but I found my second attendance at the conference not to have presented very much additional information than the first. Continuing participants should have a separate agenda than first year attendees.

36. Did your participation in an annual conference lead to changes in the way you plan, implement, monitor, evaluate or communicate about your partnership?

- Yes
- No
 If you answered "yes," please explain briefly.



The objective of this question was to determine how useful annual ALO conferences are in assisting with planning and managing projects among partners. Most comments reflected positively on ALO conferences. Most project directors said they were able to learn about other

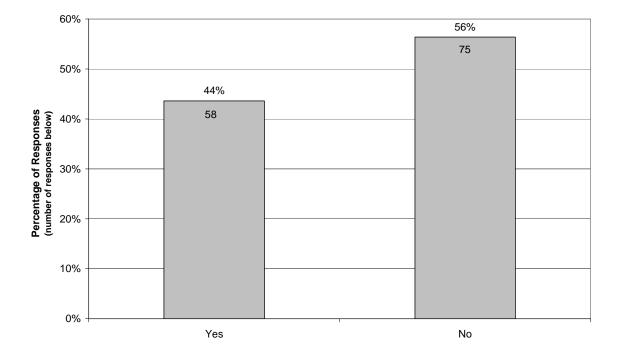
methods of fund raising, how to improve their proposals, how to focus more on results, and how to better coordinate and implement new ideas and thoughts into their proposals. Most felt they were able to prioritize better, prepare reports and enhance their presentation style.

Selected comments include the following:

- We were able to improve our coordinating activities, as well as improve methods of communicating with apprehensive citizens of communities with whom we are working.
- It made me concentrate aggressively on results.
- New concepts regarding communication of projects results to higher education and external audiences.
- I returned to the project with increased focus.
- The methodology of conducting the programs and focus were changed.

37. Should changes be made in the length, venue, organization, participation or other aspects of the annual conference to make them more productive?

- Yes
- No
 If you answered "yes," please explain briefly.



The objective of this question was to determine whether PDs had any recommendations and suggestion for improving the annual conferences and how to make them more useful. Responses varied greatly. The following are representative comments.

On the issue of length of the conference

- The length could be shortened to 2 days only.
- Increase the length of the conference.
- It would be good to have more time for discussion with both other participants as well as the ALO monitor.

On the issue of cost of the conference

- We do not need to have such an expensive venue.
- A minimum of two participants are required to attend each conference. This is a significant expense, generally 5%–8% of the total grant. I am not sure if it was particularly costeffective.
- Having an expensive conference in Washington is not a good use of the limited funds available.
- Cheaper accommodations should be made available.

On the issue of timing and location of the conference

- Have the meeting away from DC, particularly in August
- Move the time of the conference to the middle of fall or spring semester.
- Consider a regional meeting in Latin America, Asia or Africa.
- Consider having them in a country with more reasonable visa requirements.
- Do not hold it in August when most American universities are not in session, thus making it very difficult to schedule substantive meetings.

38. What additional networking opportunities and dissemination methods should be employed to increase interest in and broaden the support for partnerships?

Selected comments from partnership directors are listed below:

- I think it would be useful for experienced program directors to hold seminars for first-time project directors.
- Develop a better ALO Web page.
- Allocate additional funds from ALO to develop good website for projects.
- Web-based networking; funding to visit each other's projects when relevant.
- It would be nice to have a "mentor" institution (one that has had several successful grants) meet with a first-time institutions at the annual conference.
- USAID should more actively participate in the conferences.
- Get local USAID Missions to take interest.
- Organize regional conferences.
- Make far greater use of the Web by ALO.
- ALO should take initiative to introduce selected partnerships to each other (e.g., in the same country or the same discipline).
- An electronic publication on project updates on a regular basis would be helpful. Also, some way in which project directors could electronically interact with each would be good.

39. What advice, if any, would you give to other universities planning an ALO-assisted partnership so that they plan and implement effective programs?

Many comments highlighted the importance of communications, particularly with USAID Mission staff. The PDs seem to believe that they will receive additional funding and support if they have a strong networking and communication with the Mission staff. Typical comments include the following:

- Communication is essential. We were successful because we maintained good, on-going communication between our two institutions.
- Communicate with your partner institution and with the USAID Mission in that country.
- Obtain support of USAID Mission staff.
- The limited amount of funds is an issue. To be honest, ALO demands a lot for a small investment. People need to be aware of that.
- Establish partnership relationships early, joint project planning prior to proposal submission and carefully read the ALO request for proposals.
- Meet your future partners early. Plan together. Confer with the AID Mission to make link with SOs.
- ALO should help to sustain the partnership program as it is because of the paucity of
 resources we are not able to continue many of the activities, nor able to have frequent
 interactions.

Table 1. Summary of Partnership Qualities

	e 1. Summary o	or Farmers	sinp Quanties
Total Surveys	Completed	Total	Percent Completed
, and the second	162	338	48
	Completed	Total	Percent Completed
U.S.:	100	180	56
Non-U.S.:	62	158	39
2-Year:	20	40	50
4-Year:	138	289	48
Public:	128	270	47
Private:	30	59	51
HSI:	10	30	33
HBCU:	15	32	47
TCU:	1	2	50
MPI:	10	16	63
ACE:	143	299	48
AACC:	20	40	50
AAU:	43	90	48
AASCU:	31	75	41
NAICU:	18	40	45
NASULGC:	102	206	50
Sectors	Completed	Total	Percent Completed
Agriculture:	23	56	41
Community Development	13	20	65
DG/Public Policy/Journalism:	25	46	54
Economic Growth and Trade:	34	61	56
Education:	53	95	56
Environment/Nat Resources:	38	82	46
HIV/AIDS:	9	20	45
ICT/DE:	33	56	59
Population/Health and	19	45	42
Nutrition			
Workforce/Entrepreneurial	39	79	49
Dev:			
Regions	Completed	Total	Percent Completed
Africa	Completed 68	1 0ta 1	51
ANE	35	83	42
EE	33 17	83 27	63
LAC	42	27 94	45
LAC	42	94	43
Active/Closed	Completed	Total	Percent Completed
Active	108	223	48
Closed	54	115	47

Table 1. Summary of Partnership Qualities (Continued)

Table 1. Summary of Partnership Qualities (Continued)				
Award Amount	Completed	Total	Percent Completed	
<\$50,001	6	15	40	
\$50,001-100,000	98	214	46	
\$100,001-125,000	33	61	54	
\$125,001-150,000	0	1	0	
\$1 50,001-200,000	5	10	50	
\$200,001-250,000	5	10	50	
\$250,001-300,000	10	19	53	
\$300,001-1,000,000	2	2	100	
>\$1,000,000	3	6	50	
Cycle/Initiative	Completed	Total	Percent Completed	
1998	17	34	50	
1999	25	48	52	
2000	19	49	39	
2001	12	28	43	
2002	21	42	50	
2003	1	2	50	
2003 Special 6	30	57	53	
Bangladesh	5	6	83	
Egypt	2	2	100	
Ethiopia	1	3	33	
Macedonia	2	2	100	
MEPI 2003	8	15	53	
Rwanda	1	2	50	
TIES I	17	34	50	
WB/Gaza	1	12	8	

Appendix E Assessment Team's Partnership Site Visits

	Partnership			Year	S	Status
Evaluator	US Partner	Non- US Partner	Total	Year Awarded	Active	Completed
Africa						
South Africa						
Peter Pelham	Bronx Community College	Umgungundlkovu Further Edu. & Traing Inst.	1	2002	1	
	Highline Community College	Cape Technikon	1	2002	1	
	Highline Community College	False Bay College	1	2002	1	
	Howard University	University of the Transkei	1	1998		1
	Michigan State University	esATI	1	2000	1	
	Oregon State University	Fort Cox College/University of Ft. Hare/University of Natal- Pietermaritzburg	1	1998		1
	Spelman College	Mongosuthu Technikon	1	2002	1	
<u>Ghana</u>	_					
Maria Nagorski	University System of Georgia - Kennesaw State University	University of Cape Coast	1	2000	1	
	University of Delaware	Institute of Local Gov't Studies/Erasmus Univ.	1	2000		1
	University of Northern Iowa	University of Cape Coast	1	2002	1	
<u>Ethiopia</u>						
Maria Nagorski	Langston University	Awassa College of Agriculture, Debub University	1	1998		1
	University of Illinois, Chicago	Addis Ababa University	1	2002	1	
Semi-total Af			12		8	4
LAC	rea region		12			
Mexico						
Jerry Wein	University of Arizona	Universidad Autonoma de Chapingo	1	2002	1	
	Maricopa County Community College District	Universidad Veracruzana	1	2000		1
	UC - San Diego	Universidad Autonoma de Baja California	1	2001	1	
	San Diego State University	Universidad Autonoma de Baja California	1	2002	1	
	Montana State	Universidad Autonoma de Baja California	1	2000	1	
	University of Georgia University of Texas, San Antonio	Universidad Veracruzana Universidad de Guadalajara	1	1998	1	1
<u>Peru</u>						
Jerry Wein	Texas A&M University	Universidad Nacional Agraria La Molina	1	2002	1	

	Iowa State University	Universidad Nacional Agraria La Molina	1	2001	1	
	Johns Hopkins Univ. (Sch. Public Health)	Universidad Peruana Cayetano Heredia	1	2001	1	
Semi-total L	/	Tieredia	10		8	2
ANE						
Bangladesh						
Dick Dye	University of Houston	Bangladesh University of Engineering & Tech.	1	?	1	
	Southern Illinois University at Carbondale	Independent University of Bangladesh	1	2002	1	
	Virginia Polytechnic Institute and State Univ.	Bangladesh University of Engineering & Tech.	1	2003	1	
Indonesia	·					
Dick Dye	Ohio University	State Inst. of Islamic Stud. Syarif Hidayatullah	1	2002	1	
	University of Illinois, Champaign-Urbana	Institute of Technology, Bandung	1	1999		1
<u>India</u>						
Dick Dye	Eastern Iowa Comm. College District	Vasavi College of Engineering	1	2001	1	
	Houston Comm. College Southeast	University of Delhi	1	1999		1
	Michigan State University	Tamil Nadu Agricultural University (TANU)	1	2004	1	
	Cornell University	TANU	1	2004	1	
	University of California - Davis	TANU	1	2004	1	
Semi-total ANE Region			10		8	2
E&E						
<u>Macedonia</u>					•	
Peter	Indiana University	South East European University	1		1	
Pelham						
Romania						
Peter Pelham	Tiffin University (GCDC)	University of Bucharest	1	1999		1
Semi-total E&E Region			2		1	1
TOTALS			34		25	9

Appendix F Interview Protocols

INTERVIEW PROTOCOL A AID Leadership and Key Staff (To follow a brief description of the assessment)

Name of Person Interviewed:

Title and Organization:

- 1. Do you have any questions regarding the purposes and scope of this assessment?
- 2. What is the extent of your prior knowledge of the ALO program? What ALO activities have you participated in?
- 3. How does AID view the role of local higher education institutions in the development of countries it is assisting? Has that view changed in the last few years and, if so, in what ways? Looking forward, what are the prospects for increased investment in the sector?
- 4. What in-country higher education activities should AID focus on?
 - Developing sustainable inter-university linkages?
 - Capacity-building?
 - Increased involvement in and support of national development?
 - Research?
 - Some combination?
- 5. In AID's view, what should be the role of U.S. higher education?
 - Supporting AID's efforts?
 - Creating linkages?
 - A broader capacity and alliance-building effort?
 - Some combination?
- 6. What are your thoughts and suggestions for strengthening the AID Higher Education relationship?
- 7. How well-equipped is AID, from a budget and staffing point of view, to hold up its end of an expanded relationship with the higher education community?
- 8. Are the existing <u>mechanisms</u> for AID communication, coordination, and cooperation with U.S. higher education, e.g. ALO, adequate or do they need strengthening?
- 9. If there are improvements or areas to be strengthened, what is most needed? Higher level communication? More sector and problem-specific study and collaboration? Different or additional means for AID missions to access higher education resources to assist them with their work? Other?
- 10. In your view, what are the strengths and weaknesses of the current ACE/ALO cooperative agreement?
- 11. Do you think the ALO program, or its equivalent, should be continued more or less as is, changed, or ended in favor of one or more new programs?
- 12. Do you have any other comments regarding the issues which the assessment should address or suggestions for the team?

INTERVIEW PROTOCOL B USAID Missions (To follow a brief description of the assessment)

Name of Person Interviewed:

Title and Department:

- 1. How familiar are you with the ALO program as a whole and the higher education partnerships in this country? Have you participated in any ALO or partnership activities?
- 2. Do you have any questions about the purposes and scope of this assessment?
- 3. How can the assessment be of the greatest assistance to the mission?
- 4. What is your view of the current and past ALO-assisted university partnerships in the country?
- 5. What have been their greatest accomplishments and in what ways might they have done a better job?
- 6. Would you welcome or are you planning to solicit additional such partnerships through ALO? If so, what would you seek to accomplish? If not, why not?
- 7. To what extent and in what ways is higher education a part of the Mission's current strategic framework, either in terms of development of the sector itself and/or the involvement of local higher education institutions and capacities in the Mission's work? Are or might there be changes in the role of higher education?
- 8. Irrespective of the future of the current ALO program, if additional resources for higher education development were to become available, where and how would you invest them? In additional partnerships? In enhancing specific higher education capacities? In bringing existing capacities more effectively to bear on development needs? Other?
- 9. What do you see as the greatest contribution(s) that U.S. higher education institutions are making or could make in assisting this country and USAID achieve their development objectives? Higher education linkage and capacity building? Advisory and research assistance to local development activities? Advice and assistance to USAID? Training? Other?
- 10. Do you see ALO as an effective mechanism for assisting institutions in this country and USAID in accessing the full range of U.S. higher education resources that are required? If not, what are examples of some of the uncovered needs?
- 11. How might access be improved? By adding capacities and features to the ALO program? Creating a more direct but still convenient mechanism, such as a higher education IQC or package of IQCs? Other?
- 12. Are there any other issues that you would like to discuss and/or do you have any further questions?

INTERVIEW PROTOCOL C

Higher Education Leadership (To follow a brief introduction of the assessment)

Name of Person Interviewed:

Title and Organization:

- 1. Do you have any questions regarding the purposes or scope of this assessment?
- 2. How does the U.S. higher education community view its role in international development?
 - As a source of development assistance?
 - As a partner in the development of local higher education?
 - As a means of strengthening its own teaching, research, and service capacities?
 - As a generator of resources to support its international program objectives?
 - Other?
- 3. Where and how do higher education's goals and objectives intersect with those of AID? Is your answer different today than it would have been a few years ago? If so, in what way?
- 4. What are your thoughts and suggestions for strengthening the Higher Education AID relationship?
- 5. What would you like to see happen in that relationship? More university linkages? Increased opportunity to participate in USAID higher education and other development projects? Increased AID funding for academic and specialized training utilizing U.S. higher education resources? Other?
- 6. Does the higher education community currently have adequate policy and other access to AID?
- 7. Are the existing <u>mechanisms</u> for communication, coordination, and cooperation with the Agency, e.g. ALO, adequate or do they need strengthening?
- 8. If the latter, what is most needed?
 - More and higher level communication?
 - More sector and problem-specific study and collaboration?
 - Additional means for AID missions to access higher education resources to assist them with their work?
 - Other?
- 9. Do you have any other comments you would like to make on the issues that the review is addressing or suggestions for the assessment team?

INTERVIEW PROTOCOL D

Partnership Directors (To follow a brief description of the assessment)

Name of Person Interviewed:

Title and Organization:

Partner Institution:

- 1. Are you familiar with the purposes and scope of the present ALO program review? Do you have any questions?
- 2. Did you receive and have you responded to the survey, which was distributed by the assessment team?
- 3. Do you have any questions about that survey or our plans for selected in-depth site visits and interviews?
- 4. Could you tell me a bit about the history of the partnership, when and how it was conceived, and its goals and purposes?
- 5. How would you rate the accomplishment of your original goals and anticipated results?
- 6. Are you familiar with the ALO solicitation and selection processes and, if so, what do you see as its strong points and the areas in which it could be improved?
- 7. What were the planned roles of each partner and how did it work out in practice? Will there be a longer term effect of these relationships?
- 8. What kind of relationship developed between the partners and the local USAID mission? Do you believe the relationship was or is of benefit to your institution and how did it work out in practice?
- 9. What were or have been the greatest accomplishments of the partnership?
- 10. Are there areas in which more could have been achieved and if so, which areas and how could the results have been improved?
- 11. Do you have any comments on the size of the award in relation to the partnership's objectives? On the matching requirements?
- 12. What were the most useful parts of this project? How did they help your institution build its capacities and strengths?
- 13. To what extent have the partnership's sustainability goals been achieved and what are the prospects? What unanticipated linkages and resources, if any, have resulted from the partnership?
- 14. If you had it to do over again, what would you do differently?
- 15. Are you interested in continuing this partnership and/or developing others? What would be the goals and purposes?
- 16. What advice would you have for other institutions thinking about applying for a partnership award?
- 17. For non-U.S. respondents only: Did participation in this partnership influence how you, your colleagues or your students view the United States and U.S. higher education, science, and culture?

INTERVIEW PROTOCOL E Advisory Council and Staff

Name of Person Interviewed:

Title and Organization:

- 1. Do you have any questions on the purposes and scope of this assessment?
- 2. What was ALO created to do in 1992 and how did its role change with the signing of the current cooperative agreement in 1997 change?
- 3. How has the ALO program, and ALO itself, changed since the signing of the agreement?
- 4. What have been ALO's major accomplishments since 1997?
- 5. What, if any, major opportunities were lost during this period and why? How could this have been avoided?
- 6. In your view, what has been the impact of the university partnerships component of the ALO program?
- 7. How effective have the policy roundtables and specialized workshops been in influencing policy and action by USAID and/or the universities?
- 8. Has USAID taken effective advantage of the higher education advisory assistance component of ALO?
- 9. How effective have ALO's major program management systems been? For example:
 - Solicitation, peer review, and selection
 - Program monitoring and reporting
 - Collection and dissemination of best practices and lessons learned from the partnerships
 - Dissemination of the results of roundtables and workshops and follow-up
- 10. Have AID/W or USAID missions expressed concerns over ALO costs and if so, how do you evaluate those concerns?
- 11. If given the opportunity to start over, what would you do differently?
- 12. Looking to the future, what do you foresee as the priority needs for higher education assistance and involvement?
- 13. In a similar vein, what do you foresee as the U.S. higher education community's priority needs and interests?
- 14. How well do the two prospective agendas match up? How can the differences, if any, be narrowed?
- 15. What should be ALO's role(s) in addressing this issue and how, if at all, would its approaches and capacities need to change?

Appendix G ISTI Assessment Team Contacts

THE HIGHER EDUCATION COMMUNITY

ALO Board of Directors

- George R. Boggs, President, American Association of Community College
- Constantine W. Curris, President, American Assoc. of State Colleges and Universities
- Nils Hasselmo, President, Association of American Universities (Chair)
- C. Peter Magrath, President, National Association of State Universities and Land-Grant Colleges
- David Ward, President, American Council on Education
- David Warren, President, National Assoc. of Independent Colleges and Universities

ALO Advisory Council

- Michael Baer, Sr. Vice President, American Council of Education
- William Bertrand, Executive Director, Payson Center for Int'l Development
- Blaine Brownell, President, Ball State University
- Montague (Tag) Demment, Director Global Livestock, CRSP Professor, UC Davis
- Elizabeth Hayford, President, Associated Colleges of the Midwest
- John Hudzik, Dean, Int'l Studies & Programs, Michigan State University
- Earl Kellogg, Associate Provost, International Programs, Univ. of Illinois at Urbana-Champaign (Chair)
- George Mehaffy, Vice President, AASCU
- James McKinney, Vice President, Economic Development, AACC
- Mortimer Neufville, Executive Vice President, NASULGC
- Norman Peterson, Director of International Programs, Montana State University
- Norman Uphoff, Director, Cornell Int'l Inst. for Food, Agriculture and Development
- John C. Vaughn, Executive Vice President, Association of American Universities
- Carolyn Williams, President, Bronx Community College

Association Liaison Office (ALO) for University Cooperation in Development

1307 New York Ave. NW, Suite 500, Washington, DC 20005-4701; 202-478-4700

- Joan Claffey, Retired Executive Director
- Marilyn Crane, Program Associate
- Ronna Eddington, Executive Assistant
- Charlie C. Koo, Senior Program Associate
- Christine Morfit, Acting Executive Director
- Kay Ikranagara, Director of Partnerships
- Johnson Niba, Administrative Associate
- Chike Nwabukwu, Program Assistant
- Jennifer Sisane, Program Associate
- Anthony Wagner, Communications Coordinator
- Michelle Wright, Program Associate

American Council on Education (ACE)

- Michael Baer, Sr. Vice President
- Kristin Carter, Accountant
- Yvonne Kankam-Boadu (formerly Wills), Finance Officer

U.S. UNIVERSITIES

Arizona

Maricopa Community College District

• Bertha A. Landrum, Coordinator, Special Projects, International and Intercultural Education

University of Arizona

- Kimberly Heath, University Finance Office
- Mark Riley, Associate Professor, Dept. of Agricultural and Biosystems Engineering
- Donald C. Slack, PhD, Professor, Dept. of Agricultural and Biosystems Engineering
- Muluneh Yitayew, PhD, Professor, Dept. of Agricultural and Biosystems Engineering

Others at this University

- Armando Bareto, MS student under partnership
- Teodulo Dominguez, MS student under partnership

California

University of California at San Diego

- Elizabeth Santillanez, MPA, Interim Coordinator, U.S.-Mexico Border Health Commission
- Eduardo P. Tanori, MD, Binational Education Coordinator, Border Health Education Network

San Diego State University

- Paul Ganster, Director, Institute for Regional Studies of the Californias
- Bertha Hernandez, Administrative Coordinator, Institute for Regional Studies of the Californias
- Alan Swedler, PhD, Professor of Physics, Director, Center for Energy Studies and Environmental Sciences

Delaware

University of Delaware

- Steven W. Peuquet, Ph.D., Director, Urban Affairs & Public Policy Program, School of Urban Affairs & Public Policy
- G. Arno Loossner, IULA Office of Research and Training
- Kristie Fitzwater Mikus, graduate school intern

Georgia

Kennesaw State University

• Akanmu G. Adebayo, Ph.D., Executive Director, Institute for Global Initiatives

Spelman College, Atlanta, University System of Georgia

Olivia Scriven, Special Advisor for Sponsored Programs & Partnerships

University of Georgia

- James McLaughlin, Partnership Director
- Rusty Brooks, Professor

Illinois

University of Illinois at Chicago

- Jane Addams, College of Social Work
- Alice K. Johnson

University of Illinois at Urbana Champaign

- Earl Kellogg, Associate Provost for International Affairs
- Allison Walter, Assistant to the Director of International Engagement and Protocol
- Elvira de Mejia, Assistant Professor of Food Science
- Elizabeth Jeffery, Professor of Nutrition and Toxicology

Indiana

Indiana University

- Paul Foster, On-Site Manager, US-Macedonia Linkage
- Charles Reafsnyder, Associate Dean, Office of International Programs

Iowa

Iowa State University

• Jan Flora, Principal Investigator, Iowa State University (ISU)

University of Northern Iowa

Annie Vander Werff

Eastern Iowa Community College District

- George Varchola, Director
- Ed Stoessel, Director

Maryland

Prince George's Community College

- Marilyn Puch
- Mary Helen Spear

University of Maryland Eastern Shore

• Emmanuel Acquah, Director of International Programs

Montana

Montana State University

- Norm Peterson, Assistant Vice Provost for International Education
- Yvonne Rudman, Assistant Director for Academic and Technical Programs, Office of International Programs

Minnesota

University of Minnesota

 David Chapman, Professor and Chair, Department of Educational Policy and Administration

Michigan

Michigan State University

• David Wiley, Director, Africa Studies Center

New York

Bronx Community College

- Barbara Schaier-Peleg, Associate Director National Center for Educational Alliances
- Carolyn Williams, President

Cornell University

• Terry Tucker

Ohio

Ohio University

- Joseph Rota, Associate Provost for International Program
- Elizabeth Fuller Collins, Associate Professor

Tiffin University

- Theodora Ene, Assistant Professor, Director of MBA Enrollment Services Program (working at the University of Bucharest)
- Keith Haley, Professor, Initial Project Director, Dean & Associate Vice President, School of Off-Campus Learning
- Laura Mays, Associate Professor for Organizational & Transnational Management, School of Business

Oklahoma

Langston University

- Roger Merkel, Garza Institute for Goat Research
- Tilahun Sahlu, Director

Oregon

Oregon State University

- Badege Bishaw, Research Associate, College of Forestry and Forest Research
- Marion McNamara

Texas

Texas A&M University

- Luis Cisneros-Zevallos, PhD, Associate Professor, Dept. of Horticulture Services
- David T. Inbody, Assistant Center Director, Center for Grazinglands and Ranch Management, Department of Rangeland Ecology and Management
- Rodolfo Mayga, Professor, Department of Agricultural Economics
- Manuel Pina, PhD, Assistant Vice Chancellor, Special Programs, The Agriculture Program
- Theresa Pesi Murphrey, PhD, Visiting Assistant Professor, Department of Agricultural Education
- Andres Silva, Agricultural Engineer RA, Department of Agricultural Economics
- Gary Wingenbach, Assistant Professor, Department of Agricultural Education

University of Texas at San Antonio

- Robert M. McKinley, Associate Vice President, Institute for Economic Development
- Cliff Paredes, Director, Small Business Development Center, International Trade Center, Institute for Economic Development

Virginia

Virginia Polytechnic and State University

• Frederick Krimgold

Washington

Highline Community College, DeMoins

- Jack Bermingham, Vice President for Academic Affairs
- Michael Allen, Dean Professor Technical Education

Washington State University

• James, B. Hensen, Professor

Washington, D.C.

Howard University

• Melissa Clarke, Director, EMITT Project & Associate Dean

Other U.S. University Contacts

Malcolm F. McPherson, Senior Fellow in Development, Harvard University

OVERSEAS UNIVERSITIES

Bangladesh

Bangladesh University of Engineering & Technology

- Sk. Sekender Ali, Professor and Head of the Department of Civil Engineering
- A.K.M. Abdul Quader, Professor, Department of Chemical Engineering
- Tahmeed M. Al-Hussaini, Associate Professor, Department of Civil Engineering
- Ijaz Hossain, Professor Chemical Engineering Department
- Mohammad Tamim, Professor

Independent University Bangladesh

- Bazlul Mobin Chowdhury, Vice Chancellor
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- Haroun Er Rashid, Professor, Faculty of Environment Science and Management
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Appendix H Facilitated Dialogues

The ISTI assessment team conducted two dialogues with leaders from the higher education community, partnership directors from the United States and host countries, and USAID Bureaus and key staff. The first was held on August 10, 2004, to coincide with ALO's annual Synergy Conference. The first dialogue was primarily focused on ALO's partnership programs, particularly institutional partnerships, and the audience was people from academic settings engaged in the active implementation of projects and USAID staff who have knowledge or responsibility (or both) for the partnerships.

The second dialogue, on August 19, 2004, was focused on the relationship between the higher education community and USAID leadership. University presidents, association directors, USAID key staff, associate administrators and legislative and policy staff attended the second dialogue.

For both dialogues the purpose was to share tentative findings, gather additional data and explore key issues in the assessment. In both instances the tentative findings were designed to signal the current direction of the team's thinking and provoke discussion.

This appendix contains meeting notes, agendas, and participant lists for both dialogues.

A. Meeting Notes and Agenda for August 10, 2004 Dialogue on Higher Education Partnerships

August 10, 2004, 1 pm to 5 pm Fairmont Hotel, Washington, DC 1:00 to 3:00 pm

Purposes of the meeting

- Provide an opportunity to engage in a dialogue about the ALO partnership programs with project directors, other key stakeholders and the assessment team
- Share preliminary findings from field visits conducted by the ALO assessment team members, test ideas and emerging themes and receive feedback
- Discuss future needs and opportunities for university partnerships and how the program might be strengthened to meet the needs of key stakeholders, (USAID/Washington, AID Missions, and higher education community)

Meeting Agenda

1:00 pm Introductions of participants and ISTI team

Purpose and agenda for our meeting

Present assessment teams approach and activities

Discussion of preliminary findings

2:20 Coffee Break

2:40 Group Work on Key Questions

Reports from small groups and discussion

Recommendations for the future

5:00 Summary of the day and Closure

Meeting Notes

The meeting was well-attended, with participation from USAID, ALO, partnership directors (both U.S. and host country), and the higher education community. Thirty-two people were present at the opening, excluding team members.

The meeting was opened by Dick Dye, the ISTI Team Leader, and Maria Nagorski, who welcomed the participants, provided them with some information about the team and its charge, and informed them of the purposes of the meeting and the plan of work for the day.

This was followed by a discussion of the team's preliminary findings regarding the ALO partnership programs.

Dick Dye noted that the <u>differences</u> between institutional partnerships and special initiatives are marked, although there are shared similarities, as follows:

- Special Initiatives are by definition strategic, part of a larger Mission effort that is designed to create greater development impact than partnerships could achieve by themselves. They also do better when and if Missions renew funding.
- Institutional Partnerships are short-term, cannot be renewed, and exist on their own terms. They are micro-projects often not linked to larger development efforts. As such it has been difficult for them to have a broad impact on development problems.

The similarities are:

- Both institutional partnerships and special initiatives can be of high quality and strategic in their objectives.
- Both can build excellent relationships with partners.

- The quality of implementation plans and design is generally good in each.
- Both identify important problems and approach them in strategic ways.

Characteristics of institutional Partnerships include:

- Objectives and activities are clearly articulated.
- Develop and maintain effective relationships. Where relationships already exist, this gives a boost to the partnerships.
- Planned activities and results are achieved.
- A great deal is achieved with limited resources.
- Demonstrably small amounts of money can do special things under good management.
- Have generated substantial non-USAID resources.
- Elicit very solid contributions from universities (i.e., true costs).

Benefits:

- Accrue to U.S. partners commensurate with the level of investment.
- Accrue to individuals and their departments but also to the institutions as a whole, particularly the smaller and less-experienced ones.
- The previous notwithstanding, tend to accrue more to overseas partners.
- Overseas partners often increase capacity in certain areas related to the projects.
- There are also somewhat wider institutional impacts for overseas partners (e.g., raises the profile of the partner within the community and assists the institution to become more involved in development activity).
- Both partners benefit from the ALO conference as it offers an opportunity to network and obtain new ideas.
- Strong relationships between partners usually result, and. partners want and expect the partnership to continue.

Keys to sustainable partnerships:

- Build trust between individuals and institutions.
- Share key benefits.
- Students graduate from in-country institutions (possibly under sandwich program arrangements)
- Enable regular flows of students under; for example, internships and exchanges.
- Provide ongoing ways to identify new grant opportunities.

ALO handling of RFA and selection process:

- RFAs are very effective, but time constraints are severe and are not always sufficient where no relationship exists.
- In terms of the award length, as much as one semester can be required for a planning phase of the partnership.
- Institutional partnership subjects outlined in the RFA are broadly linked to USAID objectives, but do not adequately focus applicants on Mission specific objectives.
- RFAs vary in the extent to which they meet local partner needs.
- Results are best when there is enough time between the issuance of the RFA and the submission deadline and there is sufficient involvement of both partners in the design and planning stages.

- The peer review process is excellent.
- The selection process is fair and open.
- The system has resulted in a broad selection of different types of institutions.

Communications:

- Communications within USAID are inadequate. Missions are not informed about proposals that do not win. In general, they are out of the communication loop.
- Desk officers are generally not aware of ALO projects in their countries.
- Communications between the partnerships and the Missions is inadequate. In only a few cases did Missions report regularly receiving annual reports.
- Communications within partner institutions are often inadequate, particularly in the larger U.S. institutions, which may reflect the small size of the projects.

Monitoring, assessment and evaluation:

- Monitoring and assessment is limited. Project directors do most of the reporting; the indicators vary in importance, and some are seen as largely irrelevant.
- ALO is not involved in technical monitoring of projects, and neither USAID Washington nor field staff visit on a regular basis.
- There is no ongoing evaluation at the program level.

Funding and cost factors:

- Modest amounts of funding can result in excellent programs. Though small, the awards
 can be stretched and leveraged, though many partnership directors are articulate about
 what they could do with a bit more money.
- A great deal more impact could be achieved by increasing the length of the partnerships.
- Because the programs are centrally funded, in many cases there is little Mission ownership and interest in the program.
- Cash flow is a serious issue for many partners. ALO makes no advances, which causes problems for small institutions, which have difficulty starting projects with no money.
- Administrative expenses, particularly overhead, are seen as high by some USAID clients. The team indicated that it believes these concerns may be justified.

Design of the institutional partnership program:

- The program has limited strategic objectives.
- There are basically three components in the design: 1) an opportunity for U.S. colleges and universities to pursue a wide variety of development goals; 2) encouragement but no fixed requirement that partnerships should respond to USAID objectives as these are broadly defined in RFAs; and 3) requirements that costs be shared between USAID and the partners and that activities be sustained beyond the length of the awards.
- There are, de facto, few direct links between the partnerships and USAID's strategic objectives. This may have something to do with the communications problems, the lack of resources and time to meet all project activities, and the difficulties often encountered in sustaining and building on projects to create a larger impact. Finally, Mission concurrence should not be interpreted as necessarily indicating that there is real agreement or that serious thought has been given to the project.

In the ensuing discussion, a number of issues were raised, and subsequently discussed:

- Partnerships. Is the goal to entice new players into a relationship with USAID, and if so, why are the larger institutions such as Michigan State University being funded under this program? If the goal is to involve new players, then some institutions will need more help in the process.
- One of the strengths of the ALO program is its flexibility and breadth. It could also serve as a research arm of the Agency. Is there a conflict between meeting USAID's strategic objectives and flexibility? The program is one that has unintended contradictions and imbalances. Increasing program breadth may militate over time against the ability to connect the dots and say there is a major aggregate impact on development objectives. If the program is redesigned to merely meet USAID's strategic objectives, it may lose breadth. It needs to be seen as a program that can be of benefit over decades, not just in the immediate future.
- Missions may have different objectives for getting involved or not getting involved in the ALO program. They may be interested in getting extra money when their own budgets are cut (e.g., Bangladesh). They may, as in Mexico, be interested in supporting university linkages in and of themselves to build human capacity in Mexican universities. They may simply not want to be bothered with very small awards, as Missions tend to put money into a few large programs. There may be no point person in some Missions (e.g., Ethiopia), and the ALO program can help fill coverage gaps.
- The ALO program allows needs to be met that would not be met by Missions. It allows knowledge to be built that could lead to new strategic objectives. Small grants can be used to broaden Mission perspectives.
- <u>Future Program Strategy</u>. The side benefits to the higher education community may not have been captured. By extending the involvement and reach of higher education, the U.S. is made more aware of issues outside its own borders. Also, small awards allow institutions to come at a problem more or less as equals.
- A new direction that could be taken is to take USAID's goals and begin a series of policy
 roundtables to focus on strategic objectives and enable more networks to be built by
 inviting in a broad representation of the community and USAID sectors.
- ALO should create closer links with Missions, but question were raised about the breadth of Mission strategic objectives, as well as the Missions' interest in the partnership approach? On the USAID side generally, there needs to be a broader interest across the Agency. What is ultimately needed is that Missions go back to Washington and say that the ALO effort is important. More ways could be found to engage Missions in the program.
- Suggestions for a new program mix included: planning grants, outreach components built into RFAs; sustained monitoring and evaluation components built into awards so that the

results can be used to inform Congress and readdress the bias as to how higher education assistance is perceived as benefiting the U.S. institution. The action orientation should be emphasized.

- ALO may not have taken full advantage of the six higher education associations as shaping agents. This could be seen as an opportunity missed.
- The ALO program should underscore the role of local as well as U.S. universities in development and how appropriate this is. The project focus should be seen from the developing country perspective.
- ALO can be an honest broker. ALO can play multiple roles and serve multiple purposes.

After the coffee break, the participants divided into three working groups. Subsequently, each group made a report to the full gathering, as summarized below.

Group 1: ALO's Mission

There are many forces and players and lack of connection between them (e.g., within USAID/Washington/Missions/within higher education institutions and institutions that sponsor ALO and ALO itself.

There need to be more conversations between ALO and USAID.

New program models should be based on country needs. People can be sent out to see what these are.

There should be incentives for involvement with USAID; for example, institutional planning grants, partnerships.

Universities are not all things to all people, nor should they be.

There need to be policies and some intentional underlying programmatic efforts.

The FIPSE model and strengthening grants could be examined.

Group 2: Sustainability

Sustainability must be a dynamic process that begins by building relationships based on trust and mutual benefit. Benefit flows go both ways. Once trust is developed commitments can be obtained for the future. Partnerships and networks can be built on relationships and can lead to sustainability. ALO activities should be the first step in a larger vision.

Group 3: Financial Resources

There should be better marketing of the ALO concept of partnerships to Congress and Missions, in terms of the funding required.

Through cost-sharing and other factors, as a whole the ALO program results in dollars coming out of higher education, not bringing in money to higher education. Institutional contributions are significantly undercounted in ALO applications.

There could be two tiers of awards: initial and follow-on grants. The second tier could include another partner that would strengthen the relationship.

A fact sheet could be prepared on contracting with Missions; for example, what to do after getting the grant.

Should Missions be part of the RFA process; that is, should they have an opportunity to directly outline their needs, thus ensuring better results?

Meetings with USAID partners should be arranged to feature the work of ALO.

USAID would like to include more youth and young people in its programs.

Following the reports from the breakout groups there was a discussion of recommendations for the future, as follow:

Recommendations for the Future

That the Mission of ALO be rewritten.

That the program be reshaped to provide a stronger rationale that will attract more resources.

That greater attention be given to the public diplomacy in telling the ALO story. The program is an incredible leveraging force, building a national capacity for the United States. U.S. international involvement that is deep and sustainable.

That support needs to be built in the Appropriations Committee. Two arguments need to be made: 1) the specific value of universities in developing countries as vehicles for development; 2) the expansion and preservation of knowledge for development.

The meeting was concluded by Dick Dye, who thanked the participants for their valuable contributions to the team's work.

B. Participant List for August 10 Dialogue

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- 2. Badege, Bishaw
- 3. Gary Bittner, USAID
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- 7. Luba Fajfev, USAID
- 8. John Grayzel, USAID/ED
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- 25. Sandra Russo, EGAT/ED USAID & U Florida
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- 28. John Swallow, USAID
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- 30. John Vaughn, Exec, Vice-President AAU
- 31. David Wiley, African Studies Center, Michigan State University
- 32. Carolyn Williams, President, Bronx Community College
- 33. Richard Dye, Team Leader, ALO Assessment Team
- 34. Maria Nagorski, ALO Assessment Team
- 35. Gerald Wein, ALO Assessment Team
- 36. Peter Pelham, ALO Assessment Team
- 37. Kristi Mueller, ALO Assessment Team

C. Meeting Notes and Agenda for USAID-Higher Education Community Dialogue

Thursday, August 19, 2004, 1–5 pm 1307 New York Ave. NW, Washington, DC 20005

Purposes of the meeting

- Share and discuss preliminary findings of the ALO assessment conducted for USAID by the International Science and Technology Institute (ISTI)
- Engage in a dialogue about the ALO program objectives and results with senior leaders in USAID and higher education institutions
- Discuss ways of strengthening the relationship between the USAID development agenda and the higher education community

Meeting Agenda

1 pm Introductions of participants and assessment team

Review meeting agenda, goals and purpose of the ALO assessment

Overview of ALO program goals and findings of the assessment

Questions/ Comments

Discussion of two key questions:

- How valid are ALO's goals? Do they still reflect what USAID and higher education want to accomplish?
- Where do you see ALO fitting into the broader USAID/Higher Education relationship?
- 2:30 Coffee Break
- 2:45 Summary of discussion
- **3:00** Breakout Discussions: USAID and Higher Education groups Prioritization of goals and future direction
- **3:45** Reports from the breakout groups followed by discussion and comparison of priorities
- **4:15** Implications for the Future:
 - Does the USAID-Higher Education relationship need improvement or strengthening? If so, how?
 - How can/should the program be revised to best meet the goals?
 - What resources will be needed?
- **4:45** Concluding remarks and summary

Meeting Notes

The meeting was well attended with high-level participation from USAID and the higher education community. There were 30 participants at the opening.

The session was opened by Emmy Simmons, AA, EGAT, who welcomed everyone saying that USAID was committed to this meeting being a way forward for a substantive dialogue of AID with the higher education community. She noted that while USAID supported and worked well with many individual university partnerships, she did not feel there was a strong partnership with the higher education community as a whole. She emphasized the importance of finding ways to build and strengthen the partnership between HEC and USAID and encourage methods for bring the vast resources of higher education community to the development agenda of USAID.

Maria Nagorski opened the meeting for the ISTI team and was followed by a presentation of the findings from the assessment by Richard Dye, the ISTI team leader.

A discussion followed about the findings. Areas discussed included:

ISTI was asked (by Emmy) to share some examples of promising approaches (models) that we found during our site visits. Several examples were provided and the discussion centered on ways to disseminate information, methods for replication etc. The finding stated that there seemed to be many promising programs within the 225 partnerships but they were not being replicated nor was AID and Missions in particular aware that these models were out there.

Dave Evans of the Latin America and Caribbean Bureau noted that 47 grants of the 71 ALO projects in the LAC region are in Mexico, an easy country to work with. Not enough is being done in other countries such as Honduras because they are more difficult and need more development assistance.

There was a good deal of discussion about sustainability, and relationship building. It is clear that many partnerships are strong and have been built over the years between universities and, in particular between individuals or departments within the universities. Many of the most successful partnership programs were those in which the universities had a prior history of working together and already knew how to work with cultural differences and how best to use each other's resources and skills. Several university presidents discussed the challenge of capitalizing on the interest and individual entrepreneurial spirit of faculty members interested in pursuing international development and building up partnerships. While this has made for successful projects, it is also not necessarily sustainable if key faculty members leave or move to another college. A fundamental issues is how best for universities to make the institutional commitment to work with AID and its development agenda.

Policy roundtables have not been as frequent or as effective as during the earlier years of ALO. A number of suggestions were made for revitalizing and strengthening these roundtables. Michael Baer (ACE) suggested thinking of them as bookends to the projects. Before the RFA's go out, convening a policy roundtable with a broad strategic focus and inviting USAID and

especially Mission staff to help shape the focus of the RFA's for that year. Then at the end of project cycle, have another roundtable for a wider audience to examine results and what worked well and the implications for the future. Earl Kellogg spoke of the need to revitalize the roundtables and hold them more often and strategically.

Additional ideas were for USAID to broaden the definition of policy roundtables and use them to systematically bring in the university community to USAID strategic meetings.

Martin Hewitt spoke of the need to encouraging more leveraging. He indicated there are good examples of partnerships that have worked well and leveraged resources well beyond the grant.

John Grayzel raised the need for the assessment team to get to some of the "why" questions—in particular why are the Missions not aware of the program? Why there is not more proactive behavior on university side or AID? Why are the roundtables not as effective as they could be?

Jon Breslar raised a question about how ISTI defines effectiveness and how USAID defines effectiveness. A discussion of both effectiveness and sustainability made it clear that there was a good deal of anecdotal evidence of successful partnerships that have moved into more and expanded work (e.g., Earl Kellogg talked about the work at University of Illinois having led to broader national projects in countries where they had initial partnerships). Dick Dye noted that his presentation was referring to "effective" as having been measured by each partnership's stated objectives and that, in contrast, the Missions and the team see the partnership activities as not directly contributing to the achievement of Missions SOs and intermediate results.

How valid are the current ALO goals?

Dean Curris: One goal always present but never stated is related to adaptability to change and changing conditions. ALO has always been flexible and tries to be responsive to USAID's changing needs. ALO's adaptability without compromising quality or principles is one of its biggest assets. Original goals were more focused on policy (roundtables, etc.) and lately, ALO has had to respond to AID's requests to expand significantly the grant pool and the staff size, leaving little to no capacity to do anything else. ALO has been very good at handling expanded workload without loosing quality. Have drifted away from strategic and policy linking of university community with AID strategies and direction.

Nils Hasselmo (AAU): "If ALO did not exist; we would have to invent it. The question is how to preserve the essential entrepreneurial activity and at the same time guide partners into areas that are closely related to USAID strategic objectives."

Tag Dement noted that a key issues was how to make the program more demand driven without losing the important entrepreneurial function that individual professors were playing and without losing the innovative programs that sometimes lead to important new technologies and insights. He offered the Leader with Associate (LWA) structure as having potential applicability to ALO. He also brought up the idea that ALO create a division with responsibility of engaging with the Mission. Its role would be to market the program to Mission staff, which would require more staff resources and better communication mechanisms. In order to engage with Missions ALO will require capacity and authority.

Rebecca Cohen suggested that the program might use EGAT resources to create incentives for Missions to participate. Incentives might be used to generate Mission resources, particularly if Missions defined the work they want to see carried out. She suggested that ALO make more effort to tie in with other AID mechanisms and initiatives. One-hundred thousand dollars is not an insignificant effort, and many AID initiatives could be tapped to expand these projects. It is important to go beyond the education officers and seek out agriculture, heath, and technical staffs. Make a greater to connect with entire EGAT Bureau. Help them see the benefits of working with higher education.

Other ideas for ways to provide USAID useful assistance are to look at USAID needs for human capital development. Universities can help meet fill this need. Think of ways of creating internship programs; involve young people in USAID work (counter the problem of AID's aging staff).

Further discussion continued around the theme of USAID needing to understand the key importance of education for any sustained success of development agendas. The academic world looks at long-term change, capacity building and human resource development as the priorities for any development effort. USAID wants short-term strategic results they can embrace and report to Congress. The university community needs to find more effective ways to communicate what they are doing and its results. Perhaps intermediate results can be developed that meet the needs of both.

Carol Peasley asked how the different levels of university and higher education capacity in countries influence this program. For example, in Africa and some other regions, the universities are not at all developed, are struggling to reestablish themselves after war and devastation, and need very much to have partnerships with U.S. and other institutions to build the local capacities. Should institution building be a more explicit goal of the ALO program?

Emmy Simmons pointed out that the main challenge is how to capture a more strategic focus and yet keep the considerable benefit of funding creative and innovative ideas.

There was agreement that the ALO goals need to be updated and changed to reflect realities and current conditions. They were created 7 years ago and do not necessarily reflect what is happening or what should be happening with the program. There is a lack of focus in these goals and in the ALO program that must be addressed and resolved.

After the break, Jerry Wein summarized the discussion. Wein suggested that it might not be enough to come up with an alternative (i.e., better) programming structure, but perhaps an alternative governance structure for the program was also needed. He suggested that USAID and the HEC might consider a joint advisory board that would meet on a quarterly basis. This might help the various mechanisms (e.g., partnerships, roundtables, and others) to respond better to USAID needs and also facilitate a continuing senior level dialogue between the two groups about the broader USAID-HEC relationship.

The discussion around goals continued as Earl Kellogg indicated that U.S. universities and colleges need to be able to do this kind of development work and have to find ways to engage their faculty in developing countries. ALO is one of the only mechanisms for universities engage in development. He noted that ALO could learn and become better. Both ALO and USAID need to change constantly to reflect the pace of change in their environment – they need to be "learning organizations" ALO could be a major resource to USAID in keeping them up to date and current with research, learning and strategic thinking.

The discussion returned to the need to link two key goals instead of seeing them as conflicting – 1) expansion of number of institutions and faculty involves in broad development work with the goal of 2) meeting Mission strategic objectives.

How can ALO be more strategic, strengthen facilitated dialogues and in cooperation with AID and other development agencies identify and work on priorities? The large number of SOs and constant changes in them also pose a major challenge to this partnership because communicating and responding to these multiple priorities is extremely difficult. Tag spoke of creating mechanisms to make this work in the long run. Find ways to work with Missions: identify their objectives and then have ALO identify institution that can help meet these objectives. ALO needs to be the broker and also needs the staff resources to play this role. Think about a demand driven system with AID identifying needs, universities responding to these needs and allowing for innovation and calculated risks.

USAID and higher education worked in small groups and came up with their priority goals:

Report by the Higher Education Community Group

The group identified a progression of four goals:

- 1. To enable the higher education community to become a resource that USAID uses in developing its strategic objectives and intermediate indicators.
- 2. To provide a mechanism through which USAID can use the HEC to implement its program
- 3. To build and enhance the capacity of the HEC to produce U.S. national capacity to address issues in developing countries in the national interest
- 4. To identify and disseminate useful approaches, lessons learned, etc.

Feedback to the higher education group was that AID wants to focus on one overarching goal and have sub objectives- rather than have multiple goals.

An overarching goal could be to ensure that U.S. universities develop and make available to the developing countries and USAID resources, skills and capacities.

Report by the USAID Group

The USAID group had identified this overarching goal:

Address key development issues through partnerships and strategic alliances between HEC institutions and USAID (and other organizations as to expand the range of partners).

How the program will achieve this:

- 1. Promote
- 2. Facilitate
- 3. Mobilize
- 4. Dialogue (roundtables)
- 5. Strategic
- 6. Identify promising models
- 7. Involve generational participants.

Results anticipated (list only begun)

• Provide support to enable U.S. colleges and universities to be involved in international development

Report highlighted that

- Tension between SOs and the need for clear results (for Congress) and the benefit of ALO stimulating entrepreneurial and creative projects and approaches
- Need to find more and creative ways to build local capacity of in country higher education institutions and stimulate local higher education to work for development in their countries.
- High need to inspire technical leadership and build capacity
- Problem of AID ownership there is ownership of pieces but not commonality or ownership of the overall program.

How to's include:

• Mobilize local universities and show how this can increase development impact

Discussion followed about how to capture innovative spirit and research and resources that universities represent and at the same time create ownership in USAID.

In rapidly changing conditions, any organization has to be a learning organization and should be able to learn more about successful approaches. Universities do this all the time. How can they help USAID and ALO do this more effectively?

Need to find ways to partner and strengthen and mobilize universities to address key development issues. Need to scale up efforts of looking at promising approaches.

Be more strategic and communicate development needs but do not tighten things so it stifles innovation.

D. Participant List for August 19 Dialogue

Participant List

- 1. George R. Boggs, President, AACC
- 2. Gary Bittner, USAID
- 3. Carolyn I. Coleman, Education Policy Advisor, USAID/AFR/SD
- 4. Emmy Simmons, AA/EGAT/USAID
- 5. Montague Demment, Professor/Director, UC Davis
- 6. Carol Peasley, A/AID/C (and Acting AA/AFR)
- 7. Roberta Hilbruner, Environmental Communication Specialist and Sustainable Tourism Specialist/EGAT/NRM
- 8. Bob Emrey, USAID, SH/HIDN/HB
- 9. Nils Hasselmo, AAU, President
- 10. C. Peter Magrath, NASULGC, President
- 11. Mort Neufville, NASULGC, Executive VP
- 12. Jack Winn, USAID/DCHA, Office Director
- 13. Christine Morfit, ALO Acting Director
- 14. Earl D. Kellogg, Chair of ALO Advisory Council, University of Illinois
- 15. John Grayzel, Director, USAID/EGAT/ED
- 16. Michael Baer, Senior Vice President, ACE
- 17. Martin Hewitt, USAID
- 18. David Liner, DAA/USAID
- 19. Dave Evans, LAC/RSD
- 20. Jon Breslar, DAA/PPC
- 21. Rebecca Cohn, ANE/TS
- 22. Deno Curris, AASCU
- 23. Kerry Bolognese, NASULGC
- 24. John Thomas, Agriculture Development Officer, USAID
- 25. Richard Dye, Team Leader ALO Assessment
- 26. Maria Nagorski, Facilitator, ALO Assessment Team
- 27. Peter Pelham, ALO Assessment Team
- 28. Jerry Wein, ALO Assessment Team
- 29. Kristi Mueller, ALO Assessment Team
- 30. Charlie Koo, ALO

Appendix I Non-USAID Programs of Interest

I. Agency: Bureau of Educational and Cultural Affairs (ECA)³³

Program Overview:

A. Educational Partnership Program

The Educational Partnerships Program (EPP) fosters linkages in the humanities and social sciences between U.S. and foreign academic institutions. Grants support curriculum, faculty and staff development and collaborative research, and outreach activities having a multiplier effect and positive long-term impact. The program has extended to all world regions, except those covered by the Freedom Support Educational Partnerships Program. Eligibility of countries within each world region has varied for each competition.

Recent discussions in ECA suggest that the EPP has recently undergone significant reduction. The program has lost its line item status in congressional appropriations and is now being funded from Fulbright Scholarship monies, at a level of about \$1 million per annum. Reportedly, many of the field posts are moving away from new EPP commitments, in order to maximize funds available for individual grants.

B. Freedom Support Educational Partnership Program

The Freedom Support Educational Partnerships Program (formerly the New Independent States College and University Partnerships Program) is an academic institutional linkage program for the Eurasia region (Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Russia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan). This program has fostered linkages between U.S. and Eurasian academic institutions in the following fields: social, political, and economic sciences; business/accounting/trade; public administration/public policy; journalism/media studies; law; education/civic education/continuing education; library science. Grants have supported curriculum, faculty and staff development, collaborative research, and outreach activities having a multiplier effect and positive long-term impact.

³³ Much of the information for this section on ECA is from: http://exchanges.state.gov/education/partnership/

With FSA funds and programs coming to an end, no new partnerships are being funded.

C. Number of Grants

Beginning in 1982, more than 700 partnerships, involving nearly 250 U.S. colleges and universities in 47 states and higher education institutions in some 135 countries have been supported under the EPP and predecessor programs and the FSA program.

II. Agency: U.S. Department of Education, Office of Postsecondary Education – Programs, Fund for the Improvement of Postsecondary Education³⁴

Program Overview

FIPSE currently has three specific international grants and a fourth grant program, the Comprehensive Program, which has a few international linkages. These programs include:

- ➤ The Program for North American Mobility in Higher Education (North American Program: Canada, Mexico, United States)
- ➤ The European Community/United States of America Cooperation Program in Higher Education and Vocational Education and Training (EC-US Program)
- ➤ The US-Brazil Higher Education Consortia Program (US-Brazil Program)
- > The Comprehensive Program (mostly national but they have granted to international linkages as well)

A. The Program for North American Mobility in Higher Education

The Program for North American Mobility in Higher Education is a grant competition run cooperatively by the governments of the United States, Canada, and Mexico. The purpose of this competition is to promote a student-centered, North American dimension to education and training in a wide range of academic and professional disciplines that complement existing forms of bilateral and trilateral exchange programs among the three countries.

The program aims to improve the quality of human resource development in the three countries and to explore ways to prepare students for work throughout North America through:

- 1. The mutual recognition and portability of academic credits among North American institutions
- 2. The development of shared, common, or core curricula among North American institutions
- 3. The acquisition of the languages and exposure to the cultures of the United States, Canada, and Mexico
- 4. The development of student apprenticeships or other work related experiences

³⁴ Much of the information for this section on Department of Education is from: http://www.ed.gov/about/offices/list/ope/fipse/international.html

5. An increased cooperation and exchange among academic personnel among North American institutions.

Program History:

The Program for North American Mobility in Higher Education fosters student exchange within the context of multilateral curricular development. Conceived in the spirit of the North American Free Trade Agreement (NAFTA), students benefit from having an added "North American" curriculum and cultural dimension to their studies through a combination of trilateral curricular innovation and study abroad. The program is administrated collectively by the Fund for the Improvement of Postsecondary Education (FIPSE), U.S. Department of Education; Human Resources Development Canada (HRDC); and in Mexico by the Dirección de Desarollo Universitario, Secretaría de Educación Pública (SEP).

Funding:

Grants provide four years of funding. Each country provides support only for participating institutions within its borders.

FIPSE, HRDC, and SEP awards are made to successful consortia via the lead partner in each country. Each government provides support only for participating institutions within its borders.

The U.S. expects to provide to this program a total of approximately \$2 million over the next four years.

For U.S. institutions, financial support per consortium for the life of the project is anticipated to be on the order of \$200,000. U.S. consortium members are expected to limit their budget to \$30,000 for all U.S. partners for the first-year preparatory phase. U.S. institutions may also request funds in years two, three, and four for the purposes of curriculum development.

B. <u>European Community/United States of America Cooperation Program in Higher Education and Vocational Education and Training</u>

The European Community/United States Cooperation Program (EC-US) is a grant competition run cooperatively by the US Department of Education's Fund for the Improvement of Postsecondary Education (FIPSE) and the European Commission's Directorate General for Education and Culture. The purpose of this competition is to promote a student-centered, transatlantic dimension to higher education and training in a wide range of academic and professional disciplines. The program will fund collaborative efforts in the form of consortia consisting of at least three academic institutions from member states of the European Union and from the United States.

The EC-US Program fosters student exchange within the context of multilateral curricular development. Students benefit from having an added "international"

curriculum and cultural dimension to their studies through a combination of curricular innovation and study abroad.

Funding:

Fiscal Year 2000: \$2,304,000 Fiscal Year 2001: \$2,149,000 Fiscal Year 2002: \$2,239,000 Fiscal Year 2003: \$2,254,000

Grant Size:

Average Award, \$55,000 for FY 2003

C. The US-Brazil Higher Education Consortia Program (US-Brazil Program)

The US-Brazil Higher Education Consortia Program (US-Brazil Program) is a grant competition run cooperatively by the governments of the United States and Brazil. The purpose of this competition is to promote student-centered cooperation between the United States and Brazil to increase cross-national education and training opportunities in a wide range of academic and professional disciplines. The US-Brazil Program will fund collaborative efforts in the form of consortia.

The program aims to improve the quality of students in undergraduate and graduate education in both countries and to explore ways to prepare students for work through:

- (1) The mutual recognition and portability of academic credits among US and Brazilian institutions
- (2) The development of shared, common, or core curricula among US and Brazilian institutions
- (3) The acquisition of the languages and exposure to the cultures of the United States and Brazil
- (4) The development of student apprenticeships or other work related experiences
- (5) An increased cooperation and exchange among academic personnel at US and Brazilian institutions.

Funding:

Fiscal Year 2001: \$287,000 Fiscal Year 2002: \$900,000 Fiscal Year 2003: \$1,495,000

Grant Size:

Total grant amounts for each U.S. consortium will likely be about \$200,000 for the four-year period. This amount will be matched on the Brazilian side.

D. The Comprehensive Program

The Comprehensive Program is the central grant competition of the Fund for the Improvement of Postsecondary Education (FIPSE). The competition is designed to support innovative reform projects that hold promise as models for the resolution of important issues and problems in postsecondary education.

Several characteristics of the Comprehensive Program make it unique among Federal programs.

Funding:

Fiscal Year 2000: \$27,665,000 Fiscal Year 2001: \$27,656,000 Fiscal Year 2002: \$26,362,000 Fiscal Year 2003: \$25,225,000

Grant Size:

The average annual amount (awards are renewable for three years) is around \$80,000.

III. Agency: United Negro College Fund Special Programs Corporation Global Center³⁵

Grant Programs: Grant programs of the Global Center that fund partnerships between U.S. institutions of higher education and those abroad include:

- 1. The International Development Partnerships Activity (IDP)
- 2. The Cross Hemispheric Partnerships (CHP)
- 3. The Education for Development and Democracy Initiative (EDDI)
- 4. The Tertiary Education Linkages Project (TELP).

A. <u>IDP Description:</u>

IDP is a performance-based cooperative agreement between the United States Agency for International Development (USAID) and UNCFSP.

Objective - The three-pronged mission of IDP is to:

- Strengthen the ability of higher education institutions in Africa, Asia, Eurasia, and Latin America and the Caribbean to respond effectively to the socio-economic needs of their societies
- > Increase HBCU presence in international development
- Advance the strategic objectives of USAID mission.

Background

The agreement with USAID in June 1998 was first with UNCF and then in April 2000 was transferred to the UNCFSP.

Additional Funding:

USAID Funded. USAID Missions, geographic bureaus and private sources may fund additional competitive or non-competitive partnerships in their regions and the amount and timeframes for these additional awards may vary.

³⁵Much of the information for this section on Department of Education is from: http://www.uncfsp.org/IDP/programlist.aspx?Title=43

Grant Size:

IDP budgets a minimum of \$800,000 each year to support a minimum of four IDP awards of up to \$200,000 each. An initial cash advance is provided and then incremental funding after that.

Cost Sharing Requirements:

Cost sharing must include, at minimum, 25% in matching funds by the applicant. All contributions, both cash and in-kind, shall be accepted as part of the applicant's cost sharing when such contributions meet certain criteria listed in the RFP.

B. <u>CHP Description and Mission</u>

CHP is a program between HBCUs and Afro-Latino organizations and universities that focuses on curriculum development in Latin American Studies with emphasis on Afro-Latino Studies for K-12 teachers.

Eligible institutions:

HBCUs or consortia led by HBCUs are eligible to apply for the awards. Faculty in departments or schools of education are the target group for the awards, but faculty from other disciplines are free to apply, provided they have education majors.

Funding:

Awards are offered subject to the availability of funds.

Grant Size:

Maximum amount is for \$50,000.

Focus of Grants:

Faculty in departments or schools of education are the target group for the awards, but faculty from other disciplines are free to apply, providing they submit a letter from the university's department or school of education certifying that the focus course will become an elective or required course for education majors.

How managed? The HBCU is the lead organization in the partnership. The HBCU is responsible for the management and financial oversight of the partnership and the Afro-Latino partner works with the HBCU to make sure that the project is successful in meeting all the objectives and goals outlined in the proposal. The Afro-Latino partner should have to same level of commitment from his/her institution, which is the desire to make the partnership a successful partnership. S/he does not have to develop the same course to be included in the curriculum at his/her institution but the relationship should be mutually beneficial to both institutions.

C. <u>EDDI Description</u>:

EDDI is an interagency initiative that concentrates on improving the quality of and access to education in selected African countries with special attention paid to girls and women, technology access, and citizen participation in government in order to accelerate Africa's integration into the world community of free-market democracies. It promotes sustainable partnerships among African education and democracy organizations and between them and their sister organizations in the U.S. EDDI offers training to children and adults, involves communities, and implement new business models. (Note: ALO has assisted with the administration of partnerships awarded under this program.)

How many grants awarded? There are currently seven posted on the Global Center website. This is a much smaller program.

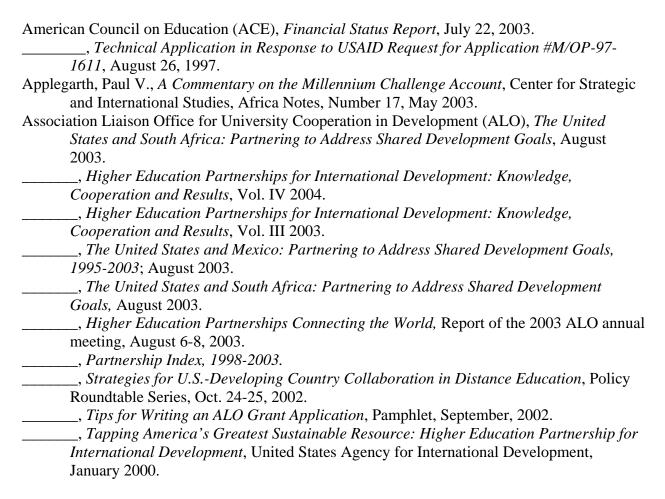
D. TELP Description:

TELP is a technical assistance program aimed at increasing the institutional capacity of Historically Disadvantaged Universities and Technikons in South Africa to assist the Government of South Africa to develop and implement its higher education policy.

How many grants awarded? There are 19 posted on the Global Center website.

Appendix J Bibliography

Documents



ALO Annual and Quarterly Reports

- Synergy in Development 2003, Higher Education Partnerships: Connecting to the World, Washington D.C., August 6–8, 2003.
- Synergy in Development 2002, Higher Education: Responding to Development Challenges in the New Millennium, Washington D.C., August 12–14, 2002.
- Brief Quarterly Report January 1, 2004–March 31, 2004.
- Brief Quarterly Report, July 1, 2003–September 30, 2003.
- Brief Quarterly Report, April 1, 2003–June 30, 2003, Cooperative Agreement No. HNE-A-00-97-00059-00.
- Brief Quarterly Report, October 1, 2002–December 31, 2002, For Award No. HNE-A-00-97-00059-00.

ALO Requests for Proposals

- 1998 Request for Proposals; 10 grants for up to \$100,000 each for two to three years; Closing Date: March 31, 1998.
- 1999 Request for Proposals; 10 grants for up to \$100,000 each for two to three years; Closing Date: April 21, 1999.
- 1999 Request for Proposals, Community College and Workforce Development Partnerships; approximately six grants of less than \$50,000 each for use over two years; Closing Date: May 14, 1999.
- 1999 Special Request for Proposals—El Salvador Early Childhood Education; one grant for up to \$1.1 million for a three-year period; Closing Date: July 20, 1999.
- 2000 Request for Proposals; 10 grants of up to \$100,000 for a two-year period; Closing Date: March 31, 2000.
- 2000 Special Solicitation for Africa Education for Development and Democracy Initiative (EDDI); up to 23 awards up to the amount of previous awards to the same partnerships; Closing Date: April 6, 2000.
- 2000 Special Request for Proposals—Rwandan Agriculture; one agreement for up to \$2.9 million; Closing Date: June 10, 2000.
- 2000 Special Request for Proposals—Pakistan Linkage Program; up to seven grants of up to \$100,000; Closing Date: Sept. 26, 2000.
- 2001 Special Request for Proposals Ethiopia Law School Program; up to \$150,000 over two years; Closing Date: April 5, 2001.
- 2001 Request for Proposals; 10 grants of up to \$100,000 each; Closing Date: April 10, 2001.
- 2001 Special Request for Proposals—Ethiopia Journalism Program; one grant for up to \$100,000 over two years; Closing Date: April 26, 2001.
- 2001 Special Request for Applications—Macedonia Linkage Program for five faculties of Tetovo (SEE) University; up to \$2.325 million for three years; Closing Date: Aug. 23, 2001.
- 2002 Request for Applications; 10 grants of up to \$100,000 each for a two-year period; Closing Date: March 15, 2002.
- 2002 Special Request for Applications Egypt Business Management and Marketing; one grant of up to \$750,000 for a two-year period; Closing Date: July 10, 2002.
- 2002 Special Request for Applications—includes special USAID interests (e.g., HIV/AIDS, workforce development, Islamic schools and teacher education); up to 33 grants of \$125,000 each; Closing Date: Nov. 19, 2002.
- 2002 Special Request for Applications—Elections and the political process in developing and newly independent countries; one grant of up to \$200,000; Closing Date: Dec. 17, 2002.
- 2002 Special Request for Applications—Bangladesh Seismic Hazards, Energy and Opportunities for Women; three awards of up to \$\$200,00 for seismic hazards and \$120,000 for the other two awards; Closing Date: Dec. 18, 2002.
- 2003 Special Request for Applications—Middle East University Partnerships; eight grants of up to \$100,000 each; Closing Date: July 1, 2003.
- 2003 Special Request for Applications—Bangladesh Energy Sector; one award up to \$120,000; Closing Date: Aug. 21, 2003.

- 2003 Special Request for Applications—Bangladesh Seismic Hazards; one award up to \$200,000; Closing Date: Aug. 21, 2003.
- 2003 Special Request for Applications (Closing Date: November 4, 2003).
- 2003 Request for Applications—Mexico Training, Internships, Exchanges and Scholarships (TIES) Partnership Initiative (Closing Date: Nov. 12, 2003); eight awards of up to \$300,000 each.
- 2003 Special Request for Applications—India Partnerships in Agriculture (Closing Date: Dec. 17, 2003); up to six awards of \$300,000 each.
- 2004 Special Request for Applications—Mali Agricultural Development (Closing Date: April 8, 2004); one award for up to \$400,000.

ALO Final Partnership Reports

- ALO, Final Report Guidelines. This includes FINAL Financial Expenditure Report Form
- University of California, Davis, Instituto Nicaraguanse de Investigacion Agropecuaria, and Universidad National Agraria, *Final Report*, no month state, 2003.
- National Association of Schools of Public Affairs and Administration (NASPAA) and 24
 Latin American institutions, Final Report: Higher Education Network to Strengthen
 Public Management, Civil Society and Democratic Governance in the Americas, October
 31, 2003
- Harford Community College and Moscow Medical College #1, Final Program Progress Report: Designing and Implementing a Nursing Continuing Education Program to Promote Russian Nursing Reform, October 2003.
- Indiana University and Kathmandu University, *Final Report: Human Dimensions of Natural Resources Management*, October 13, 2003.
- Florida Agricultural & Mechanical University and Universidad Iberoamericana, *Final Report*, September 2003.
- American Association for the Advancement of Science (AAAS) and Jomo Kenyatta
 University of Agriculture and Technology (JKUAT), Final Report: Women in Higher
 Education and Science: African Universities Responding to HIV/AIDS, Grant No.
 HNEA-00-97-00059-00, September 2003.
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Appendix K USAID Sources for ALO Funding (\$ thousands)

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File: Sources of Funding CM Data.xls Source: Assessment Team calculations based on ACE data. Updated: 8/2/04

Appendix L Assessment Team Member Biographies

Richard Dye (Team Leader)

Mr. Dye is an international educational development and training consultant specializing in strategic planning, program design and management, and evaluation. He has worked in Asia, Latin America, Africa, and Eurasia. Recent consulting assignments include: Chief of Party of a three-person team assisting USAID/Bangladesh to develop its education strategic objective; Education Specialist assisting USAID/Armenia to conduct a comprehensive education sector assessment; leader of a nine-person team assisting USAID/Honduras to evaluate the Mission's educational development programs and proposing a revised sector strategy; and assisting the USAID regional office in Budapest with the design of an innovative regional training program in Hungary for development leaders from the Balkans. Previous positions include: Foreign Service Officer in the State Department; Ford Foundation Program Officer and overseas representative; and Executive Vice-President of the Institute of International Education. He holds undergraduate and graduate degrees from Cornell University, was a Fellow of the Center for International Affairs at Harvard University, and is a member of Phi Kappa Phi. He is fluent in Spanish.

Maria T. Nagorski

Ms. Nagorski has more than 20 years of national and international experience, working with a variety of international and domestic clients. Her areas of expertise include program and organizational development, leadership and management training, project start-up and evaluation, team building, youth and community development, strategic planning and capacity building. Examples of Ms. Nagorski's past experience include project management, leadership development and local government training in Warsaw, Poland; designing and conducting training programs for the Corporation for National Service, and the U.S. Peace Corps; technical assistance and project management for USAID projects; design and management of short and long-term evaluation studies for Lilly Endowment, Goldman Sachs and MacArthur Foundations. She is fluent in Polish and has worked extensively in Poland, as well as serving on short-term assignments in Bhutan, China, Italy, India, Georgia, Egypt, and Botswana.

Peter Pelham

Dr. Pelham has experience in higher and secondary education nationally and internationally, especially in the areas of strategic planning, training, development initiatives, and opportunities for collaborative exchanges of academic staff and students. Educational planning and development have been the common threads throughout Dr. Pelham's career, which has included college administration, four-year college and university curricular initiatives, and a range of overseas assignments involving training, project management, and assessments. He also served as Vice President and Director of the Washington Office of the Institute of International Education (IIE). All of Dr. Pelham's appointments and consulting assignments have contributed to a worldview of teaching and learning, through activities ranging from a

USAID educational assessment in Albania to the implementation of collaborative research and internship programs between the University of Virginia and the University of Bath (UK).

Gerald Wein

Mr. Wein's career has focused on international development, much of it within or supporting USAID programs. As a USAID employee, Mr. Wein began as an education economist and rose to become the Deputy or Acting Director of USAID Missions in Nicaragua, Tunisia and Ecuador. His extensive experience, including 15 years living overseas, afforded him numerous opportunities to collaborate with U.S. universities in a wide variety of roles and development settings and to become familiar with the history and importance of the USAID-U.S. university relationship. Mr. Wein also spent two years at the Debt-for-Development Coalition where he had the opportunity to work closely with several of the U.S. university associations, including NASULGC and MUCIA. Later, at Abt Associates, Mr. Wein directed a \$58 million worldwide project on health financing and management reform. In that capacity he encouraged and facilitated an expanded role for sub-contractors Howard University and Harvard University. In recent consulting work, Mr. Wein led or participated in evaluations and assessments that highlighted the contributions to international development of Boston College, Georgia State, Georgetown University and many community colleges. He is fluent in Spanish.

Saba Farzaneh

Ms. Farzaneh is a Program Associate with International Science and Technology Institute, Inc. in Arlington, Virginia. Her current responsibilities include management of international development projects worldwide. Prior to her employment with ISTI, Ms. Farzaneh acted as Program Coordinator with the World Bank in Washington, D.C., providing support for the design, implementation and evaluation of operational activities; and organizing workshops, courses and events related to core World Bank operational topics. As Information Analyst with the Baha'i World Center in Haifa, Israel, Ms. Farzaneh performed research, analysis and translation of legal documents. She also engaged in the organization and coordination of international conferences involving more than 1000 participants from more than 70 countries. Ms. Farzaneh holds a Master of Public Policy from the University of Potsdam, Germany and a B.A. in Economics and Education from the University of California at Davis.

Kristi Mueller

Kristi Mueller is a mid-level professional with more than five years of research and program support experience. Currently, Ms. Mueller works as a Program Associate for the International Science and Technology Institute, Inc., where she executes program management activities, and performs research for report preparation. Ms. Mueller worked for more than two years as a Research Analyst for Indiana University where she prepared reports on economic development and conducted analysis on Latin American resources. Previous to her work at Indiana University, Ms. Mueller worked in program and planning support at FINCA International, Inc., in Washington DC. She has also

acquired experience working in program and conference support for Cook, Inc. in Spain, and the Department of State in Washington, DC. She has excellent organizational and coordination skills. Ms. Mueller holds an MPA from Indiana University in Public Finance and Economic Development. She also earned a BA in Spanish and Business from Indiana University. She is fluent in Spanish and English.