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TITLE XII

FAMINE PREVENTION AND FREEDOM FROM HUNGER

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Introduction

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This statement discusses the "Title XII" program of the United States Agency for International Development (A.I.D.). It covers the concepts and organizational structures of the program, as well as the procedures and activities through which U.S. agricultural universities and other organizations are drawn into U.S. foreign assistance to developing countries in the fields of agriculture (including fisheries), food, nutrition and rural development.

In 1975 the U.S. Congress enacted the "Famine Prevention and Freedom From Hunger" Amendment as Title XII of the Foreign Assistance Act. Title XII is also known as the Findley-Humphrey Amendment, in honor of its principal Congressional sponsors. It is the result of two initiatives, one of which was taken by A.I.D. in the Executive Branch of Government, and one by Congress.

The A.I.D. initiative was based on the belief that appropriate technological breakthroughs were required if the world food problem were to be resolved. These breakthroughs required research-- that is, basic research to create new knowledge, and adaptive research so that

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knowledge we now have could be adapted to local environments in developing countries.

The Congressional initiative, taken by Congressman Paul Findley of Illinois, together with others, aimed at bringing U.S. agricultural universities into a partnership with A.I.D. in implementing those relevant portions of the foreign assistance program. These universities, and especially those in the "land grant" system, had played a fundamental role in furthering the development of U.S. domestic agriculture. More recently, a system of "sea grant" universities has been established to do similar work in developing aquatic resources. In the process of being enacted, the Executive and Congressional initiatives were combined. As finally enacted, Title XII directs A.I.D. to make more extensive use of our land grant, sea grant and other qualified colleges and universities in carrying out foreign assistance programs funded from the Food and Nutrition (Section 103) appropriation of the Foreign Assistance legislation, as well as similar undertakings supported from other appropriation accounts (such as the portions of the Education and Human Resources Development appropriation that affect food and nutrition, the Sahel Development Program, and Security Supporting Assistance). Thus, Title XII is not funded as a line item. Instead, it is an interrelated set of activities carried out under portions of the appropriations mentioned.

In addition, the legislation directs that research and other relevant major program components must be brought together in order to

increase world food production. The components mentioned in Title XII include strengthening the capabilities of U.S. universities to assist in increasing agricultural production in developing countries; institution-building programs for development of national and regional agricultural research and extension capacities in developing countries which need assistance; support of the international agricultural research centers; contract research, involving both university and non-university resources; and newly-authorized program grants for food and nutrition research.

The Board for International Food and Agricultural Development (BIFAD)

The legislation also authorizes the establishment of a Board for International Food and Agricultural Development (BIFAD). The Board has two subordinate committees, the Joint Committee on Agricultural Development (JCAD) and the Joint Research Committee (JRC), plus a Support Staff, to assist it in carrying out its responsibilities.

The Board is made up of seven members, five of whom are affiliated with universities. The remaining two come from the private business sector. The Board meets monthly and acts in an advisory capacity to A.I.D. It assists the A.I.D. Administrator with the planning, development, implementation and monitoring of food and nutrition activities involving U.S. agricultural universities and other qualified organizations in the areas of research, education, extension, and the provision of advisory services.

The Board's duties, as covered in the Title XII Amendment, are extensive. They include, but are not necessarily limited to:

1. Participating in the formulation of basic policy, procedures, and criteria for project proposal review, selection and monitoring.
2. Developing and keeping current a roster of universities having an interest in, and appropriate capacities for contributing to the solution of problems addressed by Title XII.
3. Recommending which developing countries could benefit from programs carried out under Title XII and identifying those nations which have an interest in establishing or further developing agricultural institutions which engage in teaching, research and/or extension.
4. Reviewing and evaluating memoranda of understanding and other documents that specify the terms and conditions of formal relationships involving A.I.D. and the universities participating in Title XII activities.
5. Reviewing and evaluating agreements and activities authorized by Title XII and undertaken by universities, in order to assure compliance with the purposes of Title XII.
6. Making recommendations to the A.I.D. Administrator regarding the apportionment of funds for the various purposes authorized in the legislation.
7. Assessing the impact programs carried out under Title XII are having on solving agricultural problems in developing nations.

8. Consulting on, and contributing to the preparation of major Title XII program documents including an annual report, five-year projections of Title XII activities, and the preparation of documentation for new programs related to the Title.

The Joint Committees of BIFAD

The Title XII Amendment authorizes the creation of joint committees as subordinate units of the Board that may be necessary for the performance of its duties. Two, specifically mentioned in the legislation, have been established. These are the Joint Committee on Agricultural Development (JCAD), and the Joint Research Committee (JRC).

Joint Committee on Agricultural Development (JCAD)

There are 22 members of the JCAD, drawn from the university community, A.I.D. and other organizational affiliations. Nine are university representatives, seven are from A.I.D., two are from the U.S. Department of Agriculture, one is from the U.S. Department of Commerce's National Oceanic and Atmospheric Administration (which administers the National Sea Grant College and Program Act) two are from private voluntary organizations, and one is from the private agricultural business sector.

The JCAD meets monthly and is organized to assist A.I.D., through BIFAD, in a number of ways. These include:

1. Participating in the elaboration of U.S. bilateral agricultural development policy and strategy involving individual countries. JCAD assists in the identification of priority needs for agricultural development in these countries.

2. Participating in the conceptualization and design of Title XII country programs.
3. Evaluating the capabilities of institutions in developing countries to conduct research, teaching, extension and other developmental activities; and assisting in matching these institutions with priority programs under Title XII.
4. Identifying means to strengthen U.S. universities for participation in Title XII programs.
5. Contributing to the development of appropriate policies and procedures for university involvement.
6. Participating in monitoring, evaluating and reporting on agricultural activities under Title XII.
7. Responding to specific requests from the Board.

One of the pressing initial tasks facing JCAD was the development and establishment of guidelines for its own role and functions. This task has been completed and the Guidelines for the Role and Function of JCAD Under Title XII (March 13, 1978) are available on request.

The Guidelines emphasize the importance of the use of the "Collaborative Assistance Method" in drawing more fully on U.S. university resources, and involving them at an earlier stage of program development. The Collaborative Assistance Method of utilizing universities selected by A.I.D. (upon the recommendation of JCAD through the BIFAD) makes it possible to have university teams take part in project development once the projects have passed initial screenings and shaping. This procedure will largely (but not entirely) supplant previous standard processes.

Baseline Studies: One of the major initiatives of the BIFAD, which falls within the purview of the JCAD, is the establishment of a methodology for the conduct of country-specific baseline studies on the status of present capacities, and future requirements for assistance, of institutions responsible for agricultural research, education and extension.

The baseline studies, now being initiated, will provide host country development planners and potential external assistance groups with detailed information relative to current agricultural research, education and extension (REE) institutions and systems in developing countries. They will assess the status of, and the need for improvement in, the coordination and integration of these REE functions in the national system. The studies will also provide a factual basis for the identification of opportunities for collaborative Title XII programs; for the development of a long-term strategy on bilateral assistance in this area; and for projecting the need for the involvement of U.S. universities and related institutions in building up the capacities of developing countries.

As of April 1978, baseline studies are planned (and in some cases, in progress) for Ecuador, Peru, Lesotho, Zaire, Bangladesh, the Philippines, Syria, Jordan, and other countries. It is expected that about 15 studies may be launched by the end of the year.

JCAD Involvement in A.I.D. Country Program Development: Regional Work Groups (RWGs) have been established within JCAD for the purpose of

working with A.I.D.'s four Regional Bureaus (Africa, Asia, Latin America and Near East). They have been in operation for only a few months. The RWGs review initial project identification documents which have been screened by the Bureaus and contribute, to a greater or lesser degree, to their further shaping. Informal advance summaries are circulated to the community of interested institutions through a newsletter known as BIFAD BRIEFS, giving them an opportunity to make their interests on specific project topics known. Also, interested eligible universities have been requested to submit information on their institutional specializations, capabilities and interests. BIFAD becomes involved especially in the process of helping to match project needs and U.S. university capabilities with each other. Under A.I.D.'s Collaborative Assistance Method, the U.S. institution finally selected by A.I.D. may send a team to the country involved and continue the shaping of the project jointly with the A.I.D. country mission and representatives of the host country. There is always the option of terminating the university's participation if smooth collaboration is not developed or sustained.

Joint Research Committee (JRC)

There are 22 members of the JRC. Nine are university representatives, six are from A.I.D., three are from the U.S. Department of Agriculture, one is from the National Oceanic and Atmospheric Administration, one is from the private agricultural sector, and one is from a private foundation involved in supporting international agricultural research. The Chairman of the A.I.D. Research-Advisory Committee is also a member.

Collaborative Research Support Program (CRSP): The principal role of the JRC is to participate with A.I.D. in the development of the Collaborative Research Support Program (CRSP). This is a new approach to research implementation by A.I.D., being carried out in accordance with the requirements of the Title XII Amendment. The JRC prepared Guidelines for carrying out the CRSP jointly between A.I.D. and the university community. The Guidelines for the Conduct of Collaborative Research Support Activity Under Title XII (October 11, 1977) are available on request.

The CRSP usually involves cooperation among a group of U.S. universities and one or more other institutions of various kinds. These include the international agricultural research centers, other public research institutions, private agencies and industry, and universities and other research organizations in developing countries. A CRSP links institutions with common interests in studying problems that are of priority concern in both the developing country and the U.S. A distinguishing feature of the CRSP is the commitment of university resources in support of the joint effort. The agricultural universities of the U.S. have already invested heavily in specific research of priority importance in their home states. They are, therefore, in a position to collaborate with other institutions and work out the best way to organize and conduct research on similar topics in agriculturally developing countries. The problems on which U.S. universities may be working at home, and the ones to which they may commit themselves abroad

should be related to each other in such a way that success in either location will contribute towards progress in the other.

The identification of research requirements and priorities specifically suited to the Collaborative Research Support Method was another important task on which the JRC embarked shortly after its establishment in mid-1977. So far, four high-priority research program topics have been identified as appropriate to the CRSP process. These topics have been authorized for intensive planning, which is now in progress. The topics are 1) sorghum and pearl millet production; 2) fisheries and aquaculture; 3) small ruminants; and 4) the functional effects of marginal human nutritional deficiencies. An additional list of 20 priority research topics has recently been recommended to BIFAD by the JRC for the awarding of planning contracts. BIFAD will study this list and subsequently make its recommendations to A.I.D. In the early days of BIFAD, it was expected that research emphasis would be on crop technology. It is now apparent that a significant share of the topics recommended will deal with problems that cut across and are common to many crops. Topics such as crop protection, product marketing and farming systems are among these.

CRSP planning requires that all eligible institutions and individuals be identified who are capable of contributing to either the planning or implementation phases of the research. To the extent they are willing and able to commit themselves to the planning process, these institutions so identified take part in specifying the elements

of the problem to be studied, in reviewing the state of current knowledge, in determining the methods to be followed in the research, in devising a rigorous plan for program management, and in recommending the universities and/or other entities to be involved in agreed-to collaborative relationships.

A principal judgment made in evaluating proposals for research implementation grants under the CRSP is the existence of true "jointness" and mutual benefit to the programs of A.I.D. and participating U.S. institutions. Since commitments of university resources to international agricultural development assistance are co-mingled with A.I.D. funding, each university should visualize valuable domestic feedback and impact from CRSP activities.

Strengthening the Capacities of U.S. Universities for Development Assistance

The primary purpose of the strengthening grants authorized by the Title XII Amendment is to facilitate, stimulate, increase and orient the capacity and commitment of each participating university to the implementation, under other funding arrangements, of development assistance programs identified in the legislation. It is expected that, under this program, strengthened capacities in teaching, research, extension and advisory services will enable U.S. universities to play a major role 1) in developing institutional and human resource skills in poor countries; 2) in conducting and supporting long- and short-term research with universities and international centers; 3) in rendering

technical assistance in the adaptation and application of agricultural and nutrition technology; and 4) in providing relevant advisory services to governments and the private sector in developing countries.

The Title XII Amendment recognizes both the contributions American universities have made to growth in the United States, and their already impressive record in foreign assistance to developing areas. It also recognizes their needs to expand their internationally oriented capacities for institution-building and research as part of development assistance in agriculture.

The Strengthening Program gives U.S. universities wide scope for initiative in designing their own programs, and for managing their performance under these programs, which are jointly funded by A.I.D. and each university through a matching formula. The Guidelines for the Preparation and Submission of Proposals for Matching Formula Title XII University Strengthening Grants (March 24, 1978) specify the objectives, evaluation criteria and other requirements of this program. Universities, under this program, are being stimulated to integrate their activities via coherent program proposals. They are also given considerable flexibility in generating genuine university contributions to the joint program. The BIFAD has sought and accepted relatively heavy responsibilities for the screening of university proposals, and for the oversight of university commitments to the maintenance of high standards of performance and self-discipline.

Special Strengthening Program for Minority Institutions: A

special program for U.S. minority institutions has been developed which does not require matching support by the minority university in the early stages. All but two or three of the potentially eligible institutions are predominantly black. Actually, minority institutions are eligible for the Matching Formula Program, discussed earlier, on the same basis as all other eligible U.S. universities. Separate guidelines for this special program are contained in Guidelines for the Preparation and Submission of Proposals for Minority Institution Title XII Strengthening Grants. An intent of this special program is to bring minority institutions up to a level at which they are capable of participating in the Matching Formula Program. Another, and more fundamental intent is to draw minority institutions rapidly into A.I.D. assistance programs through participation on A.I.D. teams. This will both build additional skills in the institution, and increase the resources upon which A.I.D. can rely. An effort is being made, where appropriate, to foster specialization at minority institutions either in specific subject matters or particular geographic regions of interest to the institution.

Issues Being Addressed in the A.I.D.-BIFAD Relationship

The Title XII Amendment gave A.I.D. a set of instructions on how to increase and more effectively involve the resources of the U.S. agricultural universities in a coherent range of development assistance subject matter undertakings in agriculture, food, nutrition and rural

development. In keeping with the mandate for cooperative efforts, A.I.D. and BIFAD (including its subordinate committees) have carefully but expeditiously given attention to the shared task of working out the details of their relationships under Title XII. These have been formalized in the guideline documents already discussed.

In the same spirit, cooperative efforts between A.I.D. and the BIFAD apparatus are leading toward the resolution of additional issues that have arisen in these initial years of Title XII implementation.

Because of the lack of precedent and experience with programs organized and carried out in the manner of Title XII, there is a need to complete the discussion and specification of the concepts and scope of Title XII. The concepts are currently fairly well stated in Title XII documents developed to date. Large strides have been made in clarifying the scope of the program. Issues still remain that have to do with the subject matter, primary beneficiaries and countries to be included. For instance, the Foreign Assistance Act mandates A.I.D. to work for the benefit of "the poor majority." Programs dealing with subject matters of clear but less direct benefit to the poor majority may have relative difficulty in winning approval. Certain developing countries that have "graduated" to "middle income" status may be the most appropriate ones for cooperating in certain kinds of program activities that appear to fall within the scope of Title XII. However, the means for involving these countries are restricted. Certain institutions of kinds not specifically noted in the Title XII Amendment are in a position to

contribute effectively to meeting the objectives of the legislation. Criteria and procedures for determining eligibility for these marginal cases are being refined.

Another set of issues involves the avoidance of conflict of interest among individuals (and the institutions they represent), who cooperate in advising, planning and in other program involvements that may lead to the awarding of contracts and grants for which their institutions are eligible.

A perennial issue is the need for adequate personnel and financial resources to implement Title XII. The ultimate decision on program content and funding lies with the Congress, which rightfully expects convincing evidence of the effectiveness of the A.I.D.-BIFAD relationship in meeting the legislative objectives.

Finally, there is an issue being discussed which aims to adapt a range of A.I.D. administrative procedures so as to facilitate further the appropriate involvement of the U.S. university community in the Title XII partnership with A.I.D.

Impact of Title XII

The impact of Title XII is just beginning to be felt during this early phase of its development. Title XII provides a mechanism for the further development of a working relationship between A.I.D. and the U.S. university community. Recently developed A.I.D. program proposals have demonstrated a sharp positive response from Agency units and the international centers to Title XII initiatives. The BIFAD,

in its contributed section to the Second Annual Report to Congress (April 1, 1978), drew emphatic attention to three initiatives under Title XII that it believes are essential to promoting greater university involvement in the U.S. development assistance program. These are 1) the baseline studies of agricultural education, research and extension capacities in the developing countries; 2) the Collaborative Research Support Program; and 3) the strengthening of U.S. universities for participation in Title XII. The Board concluded that "the BIFAD is satisfied that a sound foundation for a highly effective Title XII program has been created. The years ahead will bring this program to its full potential."

Major Title XII Documents

"Famine Prevention and Freedom from Hunger", Title XII of the Foreign Assistance Act of 1961, as amended. (Passed as an amendment to the International Development and Food Assistance Act of 1975.)

Charter of the Board for International Food and Agricultural Development, April 14, 1976.

Guidelines for the Conduct of Collaborative Research Support Activity Under Title XII of the International Development and Food Assistance Act of 1975 (October 11, 1977).

BIFAD, The First Year--A Progress Report, November 1977.

Guidelines for the Role and Function of JCAD Under Title XII of the International Development and Food Assistance Act of 1975 (March 13, 1978).

Guidelines for the Preparation and Submission of Proposals for Matching Formula Title XII University Strengthening Grants (March 24, 1978).

Criteria and Procedure for Compiling the Roster of Universities for Participation in Title XII Programs (in preparation).

Methodology for the Conduct of Country-Specific Baseline Studies of Research, Education and Extension Systems for Agricultural Development (in preparation).

Guidelines for the Preparation and Submission of Proposals for Minority Institution Title XII University Strengthening Grants (in preparation).

Report to the Congress on Title XII - Famine Prevention and Freedom from Hunger - of the Foreign Assistance Act of 1961, as Amended, April 1, 1977.

Report to the Congress on Title XII - Famine Prevention and Freedom from Hunger - of the Foreign Assistance Act of 1961, as Amended, April 1, 1978.

BIFAD BRIEFS, monthly newsletter of the Board.