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RESEARCH TECHNICAL ASSISTANCE CENTER

Current Landscape of Engagement Between USAID and Historically Black Colleges and Universities

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Acknowledgments

Research Technical Assistance Center

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Executive Summary

This report provides an analysis of the current landscape of USAID's engagement with Historically Black Colleges and Universities (HBCUs). Although HBCUs represent only three percent of all four-year nonprofit colleges and universities, they enroll 10 percent of all Black students nationwide, award 26 percent of all Black bachelor's degrees, and 32 percent of all Black bachelor's degrees in science, technology, engineering, and mathematics (STEM) fields in the United States. HBCUs also employ 96 percent of Black faculty as professors. These percentages suggest that by increasing partnerships with HBCUs, USAID has the opportunity to engage underrepresented students in their hiring pipelines and underrepresented faculty in development and research projects.

Project Background

Researchers examined the barriers that limit USAID funding to HBCUs and explored internationalization efforts HBCUs have undertaken to enhance their eligibility for USAID funding. Thus, the primary aim of this study is not only to strengthen the partnership between USAID and HBCUs but also to assess the international and transnational partnerships HBCUs have established with governmental and nongovernmental entities around the world.

Methods

The Bronfenbrenner Ecological Systems Theory framework was used to analyze data collected during the desk review, interviews, and survey analyses. This framework analyzes barriers that exist across micro-, meso-, exo-, and macrosystems.

Fifty-eight out of 101 HBCUs participated in this study via surveys, interviews, or both. Additionally, 12 informational interviews were conducted with USAID staff. Through this multilayered analysis, researchers uncovered that both HBCUs and USAID have barriers (Table 1).

Table 1. Barriers for Engagement

HBCU Barriers	USAID Barriers
Capacity (Fiscal/Structural)	Outreach to HBCUs
International Experience	Low Number of Applicants
Knowledge of USAID Programs	Knowledge of HBCUs
Networks	

Results and Recommendations

Though the Covid-19 pandemic presented limited access to HBCUs, the study yielded several insights into the barriers to partnering faced by both HBCU faculty and staff as well as USAID staff. The report finds that the impact of these barriers can be mitigated with a range of measures, delineated by theme (Table 2):

Table 2. Recommendations

	Thematic Barrier	Recommendation
A	HBCU Readiness	1a. Promote HBCU Tiers of Readiness
B	Communication, Outreach and Knowledge Sharing	2a. Enhance MSI* International Cooperation Capacity
		2b. Enhance MSI Communication Capacity
		2c. Enhance MSI-led Brown Bags for USAID
		2d. Host MSI-led Info Sessions for HBCUs
		2e. Pilot USAID-HBCU Leadership Convening
		2f. Host Annual HEI* Conference
C	Benchmarks and Progress	3a. Set Short/Long-term Goals for HBCU Engagement
		3b. Track (and Incentivize) M/B/IO Benchmarks
D	HBCU Capacity	4a. Examine Grant/CA Cost Share Requirements
		4b. Target Solicitations to HBCUs
		4c. Draw Upon Existing Mechanisms (Ex: New Partnerships Initiative)
		4d. Encourage Legislative Engagement (Ex: CBC*)

*MSI = Minority Serving Institution, HEI = Higher Education Institution, CBC = Congressional Black Caucus.

Some of these barriers are structural (e.g., fiscal and policy constraints) and others are individual (e.g., competing personal and professional demands, faculty professional networks, USAID staff preferences). The report details the major findings from this study, along with a list of recommendations for USAID to consider as they attempt to increase engagement and improve the competitiveness of faculty, staff, and students at HBCUs.

Future Research

This study obtained rich data pertaining to HBCU experiences with USAID and vice versa. Future research should advance this study by comparing the barriers experienced by HBCUs with the barriers experienced by non-HBCUs. Additionally, an assessment of HBCU institutional capacity for USAID funding could entail campus visits and reviews of HBCU annual reports, strategic plans, mission statements, budget documents, staffing levels, and other documents. It is our hope that this study adds insights to the body of knowledge on HBCU barriers to federal funding opportunities, upon which future research can build.

USAID has the opportunity to develop and harness the skills and expertise of HBCU faculty, staff, and students who can provide culturally competent practices to USAID Missions, Bureaus, or Independent Offices (M/B/IOs) as they become the next generation of USAID civil and Foreign Service employees. The benefits of partnering with these institutions are timely and boundless.

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List of Acronyms

AANAPISI	Asian American and Native American Pacific Islander Serving Institution
ALS	Annual Leadership Conference
BIFAD	Board for International Food and Agricultural Development
CDCS	Country Development Cooperation Strategy
COVID-19	Coronavirus Disease 2019
DIV	Development Innovation Ventures
DDIR	Development Diplomat in Residence
FTE	Full-Time Equivalent
FtF	Feed the Future
GLAAS	Global Acquisition and Assistance System
GEOAg	Geological Agriculture
HBCU	Historically Black College and Universities
HEI	Higher Education Institutions
HESN	Higher Education Solutions Network
HSI	Hispanic Serving Institution
LASER	Long-Term Assistance and Services for Research
M/B/IO	Missions/Bureaus/Independent Office
MHPF	Minority Health Professionals Foundation
MSI	Minority Serving Institutions
NOFO	Notice of Funding Opportunity
NORC	National Opinion Research Center
PTE	Part-Time Equivalent
PWI	Predominantly White Institution
R1	Research 1
R2	Research 2
RFA	Request for Application
RFP	Request for Proposal
RTAC	Research Technical Assistance Center
SLAC	Small Liberal Arts College
STEM	Science Technology Engineering and Mathematic
STIP	Science, Technology, Innovation Partnership
TCU	Tribal College and University
UNCF	United Negro College Fund
USAID	United States Agency for International Development
VSFS	Virtual Student Foreign Service

1. Introduction

Scope of Work

The United States Agency for International Development (USAID) promotes development, peace, stability, and poverty reduction by fostering economic growth, environmental and agricultural growth and sustainability, protecting human health, providing emergency humanitarian assistance, and enhancing democracy in developing countries. These goals are accomplished by enlisting the full range of the United States' (U.S.) public and private capabilities and resources, including U.S. Minority Serving Institutions (MSIs), which include Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs), and Asian American and Native American Pacific Islander Serving Institutions (AANAPISIs).

A mutually responsive and supportive partnership between USAID and the U.S. higher education community is vital for achieving broad global development objectives, and MSIs are uniquely well-positioned to partner with USAID. USAID and its partners have a long history of working with HBCUs, HSIs, TCUs, and AANAPISIs in critical U.S. foreign and humanitarian assistance areas. In developing countries, MSIs have brought the same passion and vision that propels them in their work with indigenous and underrepresented communities in the United States. Despite this potential, for the past three years (FY18, 19, 20) the annual awards to MSIs have averaged only 15percent of the dollars awarded to all United States-based Higher Education Institutions (HEIs); of that, awards to HBCUs have averaged 67 percent of total MSI awards with the majority of HBCU funding going to Howard University.

While MSIs are vital USAID partners, this study specifically focuses on the agency's partnership with HBCUs. The White House Executive Order 13532 *Promoting Excellence, Innovation, and Sustainability at Historically Black Colleges and Universities* in 2010 strengthened the USAID/MSI program's focus on HBCU engagement. The initiative was established to collaborate with executive departments, agencies, and offices—as well as with private-sector educational associations, nonprofit organizations, and other partners—to increase the capacity of HBCUs to provide high-quality education through five core tasks:

1. Strengthening the capacity of HBCUs to participate in federal programs.
2. Fostering enduring private-sector initiatives and public-private partnerships while promoting specific areas and centers of academic research and programmatic excellence throughout all HBCUs.
3. Improving the availability, dissemination, and quality of information concerning HBCUs to inform public policy and practice.
4. Sharing administrative and programmatic practices within the HBCU community for the benefit of all.
5. Exploring new ways of improving the relationship between the federal government and HBCUs. (Executive Order 13532, 2010).

As an indication of their commitment to these core tasks, USAID partnered with the Research and Technical Assistance (RTAC) network through the National Opinion Research Center (NORC) at the University of Chicago to conduct a study of the current landscape of engagement between USAID and

HBCUs. NORC then contracted with a research team selected from submissions by RTAC investigators. Haile/Tyson Research was selected to conduct a desk review, interviews with HBCU and USAID key informants, and an online survey of faculty, staff, and administrators at HBCUs. Under a subcontract to Haile/Tyson, the MayaTech Corporation conducted the online survey component of the study.

Background

HBCUs were established to serve the educational needs of Black Americans. The Higher Education Act of 1965, as amended, defines an HBCU as "any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary [of Education] to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation" (U.S. Department of Education, 2020).

Prior to the establishment of HBCUs, Black Americans were denied admittance to HEIs. After the founding of the first HBCUs—Lincoln University in 1854 and Wilberforce University in 1856—these institutions became the principal means for providing post-secondary education for Black Americans (U.S. Department of Education, 1991).

According to the National Center for Education Statistics (2020) there are currently 101 HBCUs in operation in 19 states, the District of Columbia, and the U.S. Virgin Islands. Of the 101 HBCUs, 51 are public institutions and 50 are private nonprofit institutions. Additionally, 89 HBCUs are or are connected to four-year institutions while only 12 are two year colleges. Only 11 HBCUs are classified as Research 2 HEIs based on the Carnegie Classification of Institutions of Higher Education[1] and no HBCUs are classified as Research 1 HEIs. The distribution of HBCUs across these categories is important. This study found that, in 2019, all USAID awards to HEIs were awarded to Research 1 or Research 2 institutions. These institutions confer at least 20 research doctoral degrees each year or at least 30 professional practice doctoral degrees. Finally, to be classified as Research 1 or Research 2, HEIs must report at least $5 million in research expenditures. A primary finding and recommendation is that USAID target their engagement of HBCUs based on three tiers of readiness. The three tiers established in this study are the foundation for the recommendations for strengthening USAIDs partnerships with HBCUs. Tier 1 HBCUs are, at minimum, Research 2 institutions. Tier 2 HBCUs have established international programs. Tier 3 HBCUs have an interest in internationalization but no experience in this area. This categorization will be detailed in the results and recommendation sections of this report. Table 2 includes a breakdown of the distribution of HBCUs who participated in this study across all HEI categories.

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[1] The Carnegie Classification of Institutions of Higher Education (Carnegie Classification) is a framework for classifying all colleges and universities in the United States. The latest edition of the Carnegie Classification was published in 2015. Information used to assess these classifications are drawn from the National Center for Education Statistics' Integrated Postsecondary Education Data System and from the College Board.

Although HBCUs represent only three percent of all four-year nonprofit colleges and universities, and receive less than two percent of USAID awards, they enroll 10 percent of all Black students nationwide (United Negro College Fund, 2020), award 26 percent of all Black bachelor's degrees, and 32 percent of all Black bachelor's degrees in science, technology, engineering, and mathematics (STEM) fields (Saunders and Nagle, 2018) in the U.S. HBCUs also employ 96 percent of Black faculty as professors (Strauss 2015). So although, USAID funding levels to HBCUs may not appear to represent a disparity on the surface, the percentages of Black students educated and Black faculty employed by HBCUs suggests that USAID misses opportunities to engage underrepresented students in their hiring pipelines and opportunities to engage underrepresented research faculty in development projects.

In addition to the Black students enrolled at HBCUs, these institutions have also become increasingly diverse in terms of student population. HBCUs have seen an increase in enrollment from White, Asian, Hispanic, Native, and international populations. According to the National Center for Education Statistics, non-African American students in 2017 made up approximately 24 percent of HBCU student populations, compared with 15 percent in 1976 (National Center for Education Statistics, 2020).

While Black Americans have overcome many educational barriers and can attend predominantly White institutions, HBCUs continue to serve as a vital component in American education. A Gallup Report (2015) found that, "HBCU graduates are more likely to be thriving in purpose and financial well-being than black graduates who did not receive their degrees from HBCUs" (Gallup, 2015). HBCUs accomplish this success despite predominantly White institutions (PWIs) enrolling 90 percent of Black undergraduates. Regarding producing Black college graduates, HBCUs "punch above their weight" (Saunders and Nagle, 2018).

In addition to educational outcomes, HBCUs serve as a beacon of support in their communities by supporting local job and economic growth, generating $14.8 billion in spending each year and more than 134,000 jobs (Humphreys, 2017). HBCUs have a significant local, regional, and national impact. Moreover, many are now implementing programs globally, while others are progressing toward complete internationalization.

Project Description/Goals

The goals of this study are two-fold: 1) to understand the barriers that limit USAID funding to HBCUs, and 2) to explore the internationalization efforts HBCUs have undertaken to enhance their eligibility for USAID funding. Thus, the primary aim of this study is not only to strengthen the partnership between USAID and HBCUs, but also to assess the international and transnational partnerships HBCUs have established with governmental and non-governmental entities around the world.

This study took place over a five-month period through a systematic literature review, interviews, survey data, and a desk review of USAID documents. The research team analyzed both the barriers and opportunities that exist for HBCUs in the USAID solicitation and outreach process for its MSI program. The co-research team interviewed senior leadership, faculty, and staff at a range of HBCUs (small and large, public and private, two-year and four-year, etc.). The team also conducted interviews with key staff at USAID to understand whether HBCU applicants faced barriers at specific stages of the agency's solicitation process and to understand where other opportunities might exist for engaging HEIs (Table 3).

Table 3. HBCU Participation

Survey Respondents

Alabama A&M University	Albany State University
Allen University	Alcorn State University
Benedict College	Bennett College**
Bennett College	Bluefield State**
Bluefield State**	Bowie State University**
Bowie State University**	Central State University
Clark Atlanta University** (R2)	Clark Atlanta University** (R2)
Clinton College	Coahoma Community College
Coppin State University	Delaware State University** (R2)
Delaware State University** (R2)	Florida A&M University (R2)
Dillard University	Hampton University** (R2)
Edward Waters College	Howard University** (R2)
Fisk University	Lincoln University
Florida A&M University College of Law	Morgan State University** (R2)
Grambling State University	Savannah State University
Hampton University**(R2)	Shorter College
Harris-Stowe State University	South Carolina State University**
Howard University** (R2)	Spelman College**
Howard University Allied Health	Tennessee State University (R2)
Howard University College of Medicine	University of Arkansas Pine Bluff**
Howard University School of Business	West Virginia State University
Huston-Tillotson University	Winston-Salem University
J. F. Drake State Community and Technical College	Xavier University of Louisiana **
Johnson C. Smith University	
Lane College	
Meharry Medical College	
Morehouse School of Medicine	
Morgan State University** (R2)	
North Carolina A&T (R2)	
Oakwood University	
Philander Smith College	
Prairie View A&M University	
South Carolina State University**	
Southern University and A&M College	
Southern University at New Orleans	
Southern University at Shreveport	
Spelman College**	
Texas Southern University (R2)	

Survey Respondents	Interview Respondents
Tougaloo College	
Tuskegee University	
University of Maryland Eastern Shore (R2)	
University of Southern Mississippi	
University of the District of Columbia Law	
Virginia Union University	
Xavier University of Louisiana**	
Xavier University of Louisiana - Business	
Xavier University of Louisiana-Pharmacy	

**Signifies an HBCU participation in both surveys and interviews

(R2) Signifies a Research 2 HEI

Table 4 illustrates the distribution of the HBCUs that participated in this study. Fifty-eight distinct HBCUs participated in the study via interview, survey, or both. The distribution of public versus private HBCU participants was 55 percent and 45 percent, respectively. To reiterate the breakdown of public versus private institutions across all 101 HBCUS in operation today, 50 percent are public and 50 percent are private. Eighty-nine percent of the HBCUs that participated in this study are four-year or four -year adjacent institutions (e.g., Howard University College of Medicine), while roughly nine percent of the HBCUs sampled are two-year colleges. Only one HBCU in this study's sample was a standalone (Meharry Medical College) HBCU. Thus, the HBCUs sampled in this study, in terms of institutional type, mirrors the distribution of the total HBCU population based on the NCES statistics cited above. Finally, across all HBCUs in operation today, 11 are classified as Research 2 or above, and 10 of these 11 R2 HBCUs were surveyed, interviewed or both. This is important to note because this study finds that USAID awards to Research 1 and 2 HEIs are the most common across prime awardees. Ten HBCU interviewees indicated previous partnerships with USAID (one of which through the RTAC network). Twelve interviewees report having a global program or center.

Table 4. Distribution and Characteristics of Participating HBCUs

Institutional Type/Tier	Representation			
	ALL Participating HBCUs	Interview Sample	Survey Sample	Comment
2-year college or technical	5	2	11	
4-year college or university (with or without graduate and professional programs)	52	21	21	
Regionally Accredited	58	Not Reported	18	All participating HBCUs are, at minimum, regionally accredited.
Professional School (stand- alone)	1	--------------------	1	Only standalone Professional School participant was Meharry
Professional School (as part of parent university)	Not reported	----------------------	12	No professional schools participated in an interview.
Faith-based	-----------	Not Reported	9	Survey respondents self-identified schools as faith-based. This question was not asked of the interview subject.
Other Characteristics				
Land Grant College/University	58	Not Reported	23	All Participating HBCUs are land grant institutions.
Public/ Private Status				

Institutional Type/Tier	Representation			
	ALL Participating HBCUs	**Interview Sample**	**Survey Sample**	**Comment**
• Public	27	18	39	
• Private	31	5	32	
Current/or Past USAID Partner		10	Not Reported	Question not on survey. Respondents self-reported in the interview.
International Center/Program		12	Not Reported	Question not on survey. Respondents self-reported in the interview.
Carnegie Classification				
• R1	None Classified			
• R2	10	7	8	

The guiding questions provided to the research team by the USAID's Office of Small and Disadvantaged Business Utilization (OSDBU) were as follows:

- Are HBCUs interested in partnering with USAID?

- What capacities are required for HBCUs to partner with USAID?

- What assistance do HBCUs need to develop the capacity required to develop transnational relationships necessary to partner with the agency?

- What are the most likely partnership opportunities for HBCUs to pursue for early success?

- What are the greatest challenges HBCUs face when attempting to respond to a USAID Notice of Funding Opportunity (NOFO)?

- What governance structure is required to support international development implementation or research at HBCUs?

- What is the necessary staffing in place to support and advance partnerships with the agency?

- How are HBCUs' transnational relationships established and what forms do they take?

2.   Literature Review

The literature on HBCUs suggests that they face many fiscal and structural constraints. Fiscally, HBCUs have fewer resources than their PWI counterparts. Compared with PWIs, HBCUs struggle to obtain funding to increase their endowments (Gasman and Sedgwick, 2005; Hale, 2007). HBCUs also enroll a larger population of low-income students than PWIs (Johnson et al., 2019), which further decreases their institutional revenue (Gasman and Epstein, 2006). According to the Brookings Institute (2019), although states are mandated to decrease the funding disparities between HBCUs and non-HBCUs, in some cases, fewer dollars are allocated to HBCUs than to comparable PWIs.

Brown and Burnette (2014) found that, between 2002 and 2010, a variance in state capital spending per full-time equivalent (FTE) existed between HBCU and PWI populations. Specifically, capital spending on PWIs was statistically higher than that for HBCUs for six out of the nine years examined. A more in-depth study (Sav, 2000) has found that two North Carolina-based PWIs (University of North Carolina-Chapel Hill and North Carolina State) received, on average, $15,700 per student, whereas the state's funding for two comparable HBCU counterparts (North Carolina A&T and Fayetteville State) was, on average, merely $7,800 per student.

HBCUs also receive significantly lower federal research and development funds than PWIs. In 2015, the U.S. Department of Education stated that, "Any one of [the major research institutions] received more than all of the Black colleges combined. And that's including Howard University" (Arnett, 2015:7). Thus, inequality between PWIs and HBCUs is reproduced through the fiscal system in which they are embedded. These outcomes are further exacerbated by internal funding allocations within each HBCU. Historically, HBCUs "were denied access to funds that would have enabled them to pay faculty higher salaries and incorporate the latest educational technologies … even after it became illegal for Traditionally White Colleges to deny Black students' admission, it remained difficult for Historically Black Colleges to gain resources" (Wooten and Couloute, 2017:4). Fiscal resources support university

operations, including research, partnership development, and outreach, in addition to supporting their educational goals. Therefore, colleges and universities with limited funding often have relatively limited capacity to allocate human and financial resources to pursue additional funding or to have access to matching funds.

While funding is important to HBCUs' ability to obtain grants and internationalize; organizational structure is also imperative for achieving these goals. Governance is particularly important in terms of institutional wellbeing. Over the past few years, several HBCUs have faced governance challenges due to lost accreditation, high turnover, and other difficulties.

HBCUs face an even greater fiscal challenge due to the COVID-19 pandemic. Many colleges that were already struggling financially are calculating the fiscal impact of the pandemic and believe that it will lead to an increase in the existing disparity between PWIs and HBCUs. While these are valid concerns, the full economic impact of COVID-19 is not yet known. However, recent editorials (Grayer et al., 2020; Strauss, 2020) have suggested that losing revenue from tuition and room and board in the upcoming academic year may impact HBCUs more significantly than their PWI counterparts due in part to HBCUs' lower endowment levels per student prior to COVID-19. Virginia State University President, Makola Abdullah, described the increased financial disparities HBCUs will face compared with PWIs due to the global health pandemic as dire, arguing that, "We are all in the same storm, but we are not in the same boat" (Grayer et al., 2020). The fiscal constraints experienced by HBCUs are significant and may be exacerbated in the coming years.

Nevertheless, HBCUs consistently do more with less. Coupet and Barnum (2010) found that the size of an HEI's endowment is positively correlated with their efficiency (measured by number of graduates divided by operating expenses). In other words, the HEIs with higher endowments are likely to function more efficiently than HEIs with lower endowment levels. However, the study found one notable exception. At similar endowment levels (measured per FTE student) HBCUs are found to be more efficient than PWIs. Thus, despite fiscal constraints, HBCUs often outperform peer institutions. A recent study conducted by the United Negro College Fund (UNCF) took this argument regarding HBCUs' performance a step further: "Every dollar spent on, and by, an HBCU and its students has a positive chain reaction in terms of heightened economic activity, increased job creation, and greater earning potential for graduates" (Humphreys, 2017:2). In this way, HBCU's are the backbone of local and regional communities and economies. Increasing financial support to these institutions allows them to expand their impact by increasing their capacity to incorporate internationalization into their curriculum.

Private-sector donors appear to recognize the socio-economic contributions made by HBCUs. One recent example of this was articulated during an HBCU Braintrust session held during the Congressional Black Caucus' 2020 Annual Leadership Conference (ALS, 2020). Netflix Co-Founder and CEO, Reed Hastings, explained the reason for Netflix's recent $120 million multiyear gift to Morehouse and Spelman Colleges (HBCUs) and the UNCF. He argued that, despite his previous presumptions, HBCUs are not merely an anachronistic relic of the United States' segregated past; instead, HBCUs are vibrant education centers for Black students from which significant percentages of Black artists, educators, social scientists, political actors, and STEM graduates make valuable contributions to the U.S. economy and society. Hastings proclaimed that Netflix's gift is a statement that "HBCUs are the future of American education" and that he hoped other grant-makers will offer similar investments.

A report by Gasman (2010) recommends ways federal agencies can help HBCUs improve their capacity to obtain federal funding. She describes four interventions that agencies can implement to assist HBCUs in this endeavor: 1) provide funding for HBCU research staff and related technology; 2) provide grant-writing training and workshops; 3) educate HBCU leaders about the value of federal grants (and the value of partnerships with the specific agency); and 4) encourage partnerships between HBCUs and other colleges/universities. While USAID's mandate prevents direct funding for HBCU staffing levels and capacity, the suggestions reflect many of the questions explored in the present study commissioned by USAID/MSI.

According to the report *Top Strategic Issues Facing HBCUs, Now and into the Future*, HBCUs should reexamine the types of academic programs offered and re-engineer their approach to governance and leadership. Specifically, HBCUs should build their offices of sponsored programs to support faculty in procuring grants and contracts (Association of Governing Boards 2014). Additionally, enhancing the capacity of research and sponsored offices supports internationalization efforts by building the ability of HBCUs to work with global partners.

When examining organizational structure, leadership, and mission, it is important to acknowledge that although Black institutions share many historical and cultural attributes, they are not all the same. This study includes a general examination of common HBCU structures to provide a framework and context for each type of institution. This approach allows for a more thoughtful examination of these institutions' strengths and challenges. Without an understanding of HBCU structures, decision- and policymakers are susceptible to making unqualified comparisons between HBCUs and PWIs, which usually render HBCUs deficient (Minor, 2004).

This USAID-HBCU engagement study explores barriers that prevent HBCUs from obtaining USAID funds and describes the internationalization capacity that exists at the institutions interviewed and surveyed. Through surveys, desk reviews, and interviews, this study aims to discover barriers that exist across five categories of social organization: individual human capital, research networks, institutions and governance, university community, and policy and funding opportunities.

The primary research questions were as follows: 1) What are the barriers that limit USAID funding to HBCUs?; and 2) What internationalization efforts are HBCUs undertaking to enhance their eligibility to receive USAID funding?

3.   Methodology

Framework

This study employed an analytical framework based on Bronfenbrenner's developmental ecological systems theory (1979). The theory was originally designed to analyze child development but has been utilized to analyze many other aspects of social organization. This framework has been adapted to examine the interactions between and within organizations and social interventions to generate recommendations for policy and program changes. The use of this framework permitted the analysis of USAID at multiple levels of interaction with HBCUs.

Bronfenbrenner outlines four systems of ecology and provides useful insights into the interactions and interventions that occur within networks, organizations, institutions, and society.

- The **microsystem** encompasses an individual's network of engagement. For example, an HBCU researcher's immediate network of colleagues might constitute their microsystem. An individual's norms and practices shape and are shaped by their interactions within their immediate microsystem.

- The **mesosystem** refers to interactions between different microsystems. Building upon the above example, this might entail the interactions between an HBCU researcher's microsystem and other networks within their HBCU or other universities. These relations also shape norms and practices.

- An **exosystem** is an environment in which the individual is not directly involved but still impacts that individual indirectly. Using the example above, an HBCU researcher's capacity to implement an external grant may be indirectly impacted by the promotion structure of the academic system in which they are embedded.

- A **macrosystem** entails all institutions, laws, cultures, and structures that surround an individual. An example of this is the individual's eligibility for USAID grants due to policies governing USAID grants/contracts.

This framework was the basis for the structures of the research questions, data extraction, and analysis. Specifically, we explored the barriers that exist within micro-, meso-, exo-, and macrosystems that prevent USAID extending their funding to more HBCUs. We also explored the internationalization efforts undertaken within each system by HBCUs. Table 3 includes an example of the types of questions asked to address each focus area across each of the four systems.

Approach

The mixed-methods approach used in this project consisted of desk reviews, surveys, and semi-structured interviews. Throughout the study, the researchers also employed a gender-sensitive approach that disaggregates and analyzes data, when possible, by gender. Triangulating multiple forms of data contributed to the validity of our results by ensuring that data illustrate consistent patterns of barriers to USAID-HBCU partnerships. Data were analyzed utilizing an inductive approach in which the research study began with observations about USAID-HBCU barriers to engagement, then uncovered related patterns through thematic data analysis, and led to the development of a broad theory to understand the problem and to present recommendations.

Site Selection

There are 101 HBCUs in operation today, including four-year, two-year, professional, and faith-based institutions. The HBCUs surveyed have national, regional, or both forms of accreditation. The student populations of these HBCUs range from 370 (Paine College) to 11,877 students (North Carolina A&T) across 21 states, one U.S. territory, and Washington D.C.

We contacted all 101 HBCUs via email and telephone, following up with administrative offices, offices of institutional research and development, and academic departments. In total, 23 semi-structured interviews were conducted, which represents 22 percent of these universities, and 71 surveys were completed. In total, 58 HBCUs are represented in the study.

Desk Review

The desk review included a review of USAID program documents, such as annual reports, strategic plans, budget summaries, solicitations, workshop presentations, outreach documents, and internal briefers. The research team designed a data extraction template to record key information from the desk review to use as a guide. Table 5 lists the desk review documents coded based on the following themes pertaining to both USAID and HBCU barriers of engagement: 1) community barriers, 2) institutional barriers, 3) interpersonal barriers, and 4) individual barriers.

Table 5. Desk Review Documents

Type	Documents by Year
Annual Plan	2018
Annual Reports	1996, 2000, 2001, 2002, 2003, 2004, 2011 (BIFAD), 2012, 2013, 2014, 2019 (Award Spreadsheet)
Briefers	2016
Brochures	MSI 2015
Contact Lists	White House Initiative, HBCU Partners
Outreach Documents	Lehman U visit, OSDBU International Development Summit (Clark Atlanta), MSI Partnership Summit (2015)
Presentations	APLU, DDIR, HEWG, Payne, general
Internal Docs	"What We Have Accomplished", USAID MSI Priorities
Miscellaneous	ACE Report; VSU and MSI Summit Agendas; FY 16 Feed the Future (FtF) Innovation Lab Fact Sheet; Doing Business with USAID Fact Sheet; White House Initiative on HBCUs FY19; FY 2019 U.S. Universities Providing Short or Long-Term Training; FY 19 FtF Innovation Lab U.S. Educational Partners; USAID Resources for Implementing Partners: What's the Difference Between Cost Share, Program Income & Leverage?; Long-Term Assistance and Services for Research (LASER) Assistance Selection Plan; RTAC Source Selection Plan; Human and Institutional Capacity Handbook; FY 2014-2020 HBCU Funding Spreadsheet; and 28 USAID Solicitations (See Appendix 1).

During this stage of the desk review, researchers conducted informal interviews with 12 USAID informants located in the Africa Bureau, Global Health Bureau, Bureau for Development, Democracy and Innovation; as well as the Higher Education Solutions Network (HESN), RTAC, and LASER program managers, and general contracts officers. Additional informational interviews were conducted with the UNCF and Michigan State University (a PWI), which subgrants to Tuskegee University (an HBCU). These interviews were conducted to understand the experiences and perceptions of those providing technical assistance and partnering with HBCU applicants and contractors.

The findings from the desk review were used as a guide to construct the interview questions and survey instrument (see Appendices 2 and 3). The desk review was iterative. For example, after the informant interviews were completed, the research team reevaluated select desk review documents and, as necessary, revised interview questions to reflect any changes in USAID policies and programs.

Interviews

The conceptual framework described earlier was used to generate questions related to each ecological system level. Table 6 includes an example of the types of questions asked to address each focus area across each of the four systems.

Table 6. Sample Question Matrix Using an Ecological Systems Framework

Ecology	Barriers to USAID – HBCU Awards	Transnational/International Efforts
Microsystem	Describe your experience partnering with faculty and staff *within* your institution on USAID partnerships/grants related to your research area.	Please describe your primary responsibility, in terms of supporting globally focused partnerships, within your institution.
Mesosystem	Describe your experience partnering with faculty and staff *outside* your institution (including professional networks) on USAID partnerships/grants related to your research area.	Describe the extent of your global professional network, focusing on colleagues whose work aligns with your area of research and with whom you might partner on global projects.
Exosystem	Please describe the size and capacity of your university's support staff, those who assist with the grant proposal process.	Describe the steps your institution has taken to obtain and foster global partnerships.
Macrosystem	Can you describe any institutional constraints you have experienced that impact your ability to compete for global funding opportunities?	If your institution engages the White House Initiative on HBCUs, has that engagement strengthened your capacity for global partnerships?

To address these questions, 23 semi-structured interviews were conducted with HBCU key informants comprising faculty, senior administrators, and international center directors. All interviews were conducted via Zoom, and audio-recorded data were transcribed and coded to explore latent meaning. In addition, when audio recording was unavailable, copious field notes were taken and finalized immediately after each interview.

The interviewees represent a range in years of work experience within HBCUs and USAID. The interviewees were selected strategically, based on the individual's leadership and participation and/or interest in USAID programs. Many interviewees were selected through the snowball technique, which stemmed from a few initial contacts.

The interviews ranged in length from 15 to 65 minutes and varied based on the informant's expertise in the topics and years of experience in higher education. The modal interview length was approximately 30 minutes. The participants were assured of confidentiality regarding names and other identifying information. They are identified only by their first name and their HBCU affiliation.

The interview questions were developed from the eight guiding questions provided by USAID/MSI. A logic model was constructed based on these eight guiding questions, and underlying questions were

designed based on the insights from the document review, literature review, and from the information gathered during the initial meetings with the USAID team.

HBCU interviews were conducted virtually over a three-week period beginning August 5, 2020, and ending August 29, 2020. Each interview opened with preliminary questions about the respondent's awareness of USAID and its funding streams and then followed with questions pertaining to institutional characteristics (partnerships, policies, academic programs, global networks, etc.).

Surveys

The ecological systems framework was also used to generate questions for use in a set of online surveys. Appendix 2 includes the matrix used to map the question bank to each of 13 surveys designed to capture the insights of early- and mid-career faculty/staff and administrative leadership. The surveys differed based on affiliation with a four-year, two-year, professional, faith-based, or regionally accredited HBCU. To meet the requirements of the Office of Management and Budget (OMB), no more than nine participants could complete any given survey. The USAID's legal counsel approved the approach before implementation of the survey component. The surveys were administered via an online survey vendor to survey participants who were asked to take part based on their position in academia and the type of institution for which they worked. The surveys took, on average, 20 minutes to complete and consisted of questions about faculty resources, networks, institutional advancement, academic programs, internationalization, and partnerships. The research team was particularly interested in HBCU faculty and staff knowledge of USAID programs, their capacity to apply to these programs, and what kind of institutional barriers they may need to overcome in order to successfully compete for USAID funding. The names of the survey participants were not used, but school affiliation was captured in this report. All the surveys were confidential, and the responses were destroyed once the data were coded and entered into a password-protected computer application for use in summarizing responses.

Limitations to Methodology

Although this study included a detailed analysis of research questions, there are limitations surrounding time constraints, previous research on HBCU capacity, and the impact of COVID-19.

Regarding sample selection, the scope of the study was to conduct desk reviews and virtual outreach to HBCUs. Using this approach, the research team obtained rich data pertaining to HBCU experiences with USAID, and vice versa. These methods also uncovered HBCU strengths and weaknesses in terms of internationalization. In the absence of time constraints, the researchers would have compared the barriers experienced by HBCUs with the barriers experienced by non-HBCUs. Adding a comparative component to this study would provide valuable means for drawing causal conclusions because each barrier would have been tested across all groups: HBCUs, MSIs, and all universities.

An additional limitation is the availability of research studies that directly pertain to the capacity of HBCUs to eliminate barriers to funding opportunities. To mitigate limited access to such data, the research team compiled literature pertaining to the overall limitations and inequities experienced by HBCUs. The desk review portion of this study was also utilized to predict areas of institutional capacity gaps based on the outcomes of USAID's engagement with HBCUs.

Another limitation pertains to survey implementation. As mentioned previously, to adhere to OMB requirements, each survey drafted was limited to nine or fewer respondents. This limited the sample size and, thus, the ability to run cross tabulations by type of institution, gender, or other individual and institutional background characteristics. Although many categories received responses from the full complement of nine participants, the surveys designed for early career respondents received few responses. As such, the perspectives of early career faculty and staff are not well represented in the survey sample.

A significant limitation of this research was the COVID-19 pandemic, which began in February 2020 but continued throughout the study's implementation. Two primary challenges arose due to the pandemic: 1) the inability of researchers to conduct in-person interviews with local HBCU and USAID staff; and 2) the delay in reaching teleworking HBCU staff/faculty for interviews. The researchers conducted outreach via telephone and email to all 101 HBCUs, but many schools' voicemail boxes were full, staff were transient, and — due to the adjustment of online and social distance learning— many conveyed being overwhelmed by the transition and were thus unable to participate in the study. Regarding the social and structural changes currently being experienced by HBCUs, the researchers were able to mitigate some of these issues by conducting additional outreach and offering alternatives to virtual interviews (e.g., telephone interviews, evening interviews, and extended survey completion deadlines).

Despite these limitations, researchers collected rich data pertaining to the structures and processes that could increase global engagement and opportunities for students, faculty, and their institutions.

4.   Results

Desk Review

The research team conducted an extensive desk review of USAID programs, activities, and initiatives pertaining to HBCUs to understand the funding opportunities and outcomes of those opportunities. The documents illustrate patterns pertaining to the programs and initiatives designed to address the disparity between HBCU and non-HBCU applicants.

Drawing upon the Bronfenbrenner framework, USAID-HBCU engagement was assessed and categorized across all four systems of ecology. The desk review highlighted patterns of previous USAID-HBCU engagement and suggested potential areas for future engagement. The examples outlined in Table 7 below illustrate the types of engagement activities USAID utilizes in its work with HBCUs, including network, organizational, institutional, and policy-level interventions patterns.

Table 7. Desk Review Results

Programs and Initiatives	Program Overview/Activities	Findings	Supporting Documents and Follow-up Interviews
RTAC	A global network of university researchers who provide USAID Missions, Bureaus, and Independent Offices (M/B/IOs) with short term technical assistance to assist M/B/IOs in making evidence-based decisions on a range of topics and challenges.	Successful engagement of HBCUs: 20 percent of current buy-ins are led by HBCU-affiliated researchers. RTAC allows researchers to work independently of their institution (HBCU org structures often present barriers). However, barriers include limited number of HBCU applicants, lack of experience in proposal development, difficulty finding HBCU researchers with international experience (a prerequisite)	**Documents:** RTAC Fact Sheet **Interviews:** Yes
LASER	A global network of university researchers who provide USAID M/B/IOs with long-term technical assistance to assist USAID in making evidence-based decisions on a range of topics and challenges. LASER researchers also independently identify research questions and carry out associated research activities that benefit USAID.	Successful engagement of HBCUs - 11 percent of formal university partnerships are with HBCUs. LASER has done extensive research on their own to understand which HBCUs have research capacity and technical expertise that align with LASER priorities. However, a significant barrier is that some of these HBCUs do not have international experience. This limits their applicant pool. Another limitation is that the work to be done to learn about each HBCUs capacity, research expertise, contacts, and fit is a heavy lift.	**Documents:** LASER Fact Sheet **Interviews:** Yes
HESN	A partnership between **USAID** and seven top universities, designed to channel the ingenuity of university students, researchers, and faculty towards global development.	The average size of HESN awards is $20 million/5 years, although some are small ($1M/3 years) or quite large ($120M/14 years). Many awardees are able to take on specialty projects from USAID OUs or from other USG partners through "buy-ins". HESN programs include: RTAC, LASER, STIP, Partnerships for Enhanced Engagement in Research (PEER), Higher Education	**Documents:** HESN 2.0 Fact Sheet, HESN Impact Report **Interviews:** Yes

Programs and Initiatives	Program Overview/Activities	Findings	Supporting Documents and Follow-up Interviews
		Solutions Network, ALP Awards, BRIDGE Awards.	
UNCF Partnership	Partnered with USAID on outreach and training events for HBCUs. Conducted writing workshops and worked with UNCF's Special Programs Corporation, which sub-awards grants to HBCUs and trains them on how to manage USAID grants.	Note that UNCF primarily supports student education (scholarships) but also works in policy and advocacy. UNCF only allows private HBCUs to belong to its network. However, there are opportunities for UNCF to act as a networking platform for graduate students, faculty, and staff researchers within its HBCU network. In FY 2002 UNCFSP awarded $200,000 to six HBCUs: Mississippi Valley State University, Clark Atlanta University, Fort Valley State University, Savannah State University, Fisk, and Wilberforce University.	**Documents:** 2002 USAID Annual Report **Interviews**: Yes
White House Initiative on HBCUs	The White House Initiative on HBCUs is the most visible HBCU convening external to USAID, including executive departments, agencies, offices, the private sector, educational associations, philanthropic organizations, and other partners to increase the capacity of HBCUs to participate in federal programs, promote research and academic excellence in HBCUs, and disseminate policy information and administrative practice to HBCUs. Activities include HBCU Week and International Affairs Day, a program focused on the	The White House initiative on HBCUs has perhaps been the most visible policy-level engagement. This initiative works to ensure that HBCUs are a policy priority across the U.S.-government, within Congress, and among non-governmental partners. The initiative implores agencies to "develop plans for how to increase engagement with HBCUs and also track that engagement goals with clear and measurable statistics."	**Documents:** MSI Strategic Plan, USAID Annual Report (2000), FY19 HBCU Plan Report **Interviews:** No

Programs and Initiatives	Program Overview/Activities	Findings	Supporting Documents and Follow-up Interviews
	partnership between HBCUs and Africa.		
USAID Training Centers	In partnership with the State Department, USAID's training and career/professional development programs help achieve the agency's mission and performance objectives by improving individual and organizational performance. In FY2002, HBCUs were funded through a cooperative agreement to provide training to individuals in the global south to develop professional and technical skills necessary to support growth in their countries.	In FY 19, USAID had 201 Training Centers, six were HBCUs: Tuskegee, University of Maryland-Eastern Shore, North Carolina A & T, South Carolina State University, Tennessee State University, and Virginia State University. In comparison in FY 2002 there were 11 HBCU Training Institutes- Bluefield State, Harris Stowe State, Howard University, Jackson State University, Morgan State University, Spelman College, St. Phillips, Southern University A&M College, Tennessee State College, Texas Southern University. According to interviews conducted with previous training institutes the original training program ended in 2008. The current training center funding goes towards renting HBCU facilities.	**Documents:** FY 2019 U.S. Universities Providing Short or Long-Term Training, ADS Chapter 458 Training and Career/Professional Development 2015, MSI Annual Report 2002, Phoenix 2020 HBCU Financial Report **Interviews:** Yes
Population Services Fellowship Program	Managed by the University of Michigan in partnership with Clark Atlanta University, Howard University and Morgan State University and designed to support health training through internships and fellowships awarded to HBCU graduate students.	The program successfully engaged graduates from 14 HBCUs, providing students with exposure and experience for future global careers in population research. According to the documents received, this program seems to have ended in the early 2000s.	**Documents:** USAID Annual Performance Reports for FY 1995, 2000, 2002 **Interviews:** No
Minority Health Professions Foundation (MHPF)	The MHPF is a consortium of nine HBCUs that strengthens the capacity of HBCUs in USAID international population and health programs.	The program awarded $210,000 to 9 HBCUs in FY 2002 Charles Drew University, Florida A&M University, Hampton University, Howard University, Meharry Medical College, Morehouse School of Medicine, Texas Southern University, Tuskegee University and Xavier University of Louisiana. There are no further	**Documents:** MSI Report **Interviews: No**

Programs and Initiatives	Program Overview/Activities	Findings	Supporting Documents and Follow-up Interviews
		records of this program giving funding to HBCUs past 2002.	
Feed the Future (FtF) Innovation Lab	The FtF Innovation Labs draw on the expertise of U.S. universities and developing country research institutions to work on agriculture and food security issues. The Innovation Labs support USAIDs goals in reducing global hunger, poverty, and undernutrition.	In FY 19, 13 MSIs led or partnered with Innovation Labs. Out of those 13 MSIs, 4 were HBCUs; no HBCU served as a lead in the program.	**Documents:** BIFAD, FY 19 Feed the Future Innovation Lab U.S. Educational Partners **Interviews:** No
Payne Fellowship	A USAID Fellowship program that attracts minority students interested in USAID's foreign service. Fellowship provides funding to support students through graduate school education and provides internship opportunities.	Significantly smaller cohorts than the Rangel Fellowship (State Department), despite USAID's hiring needs. Note that the Payne is only eligible to students at a later stage of their higher education matriculation.	**Documents:** MSI FY 19 Annual Award Spreadsheet **Interviews:** Yes
MSI Program Activities	*MSI Listserv:* Used for outreach to all MSIs, including HBCUs. Requests for proposals or acquisitions are often sent through this listserv. *MSI Summit:* Trains minority higher education organizations on grant writing, provides a space for them to meet key USAID and OSDBU staff and learn about USAID programs and partnership opportunities MSI Workshops, Brochures, Website	MSI hosts "Brown Bags" with HBCUs to discuss topics such as the USAID program cycle, the Annual Program Statement process, Public-Private Partnerships, and USAID focus on research, data, scaling and university engagement (Smith Briefer, 2016). Limitations reported: MSI program's small staff and limited bandwidth to implement these and any follow-up activities.	Documents: MSI Strategic Plan **Interviews:** Yes

The HBCU engagement activities detailed are designed to address disparities by expanding HBCU international experience and providing more avenues for funding.

In terms of networks, interventions occur within USAID and are designed to expand HBCU-affiliated individuals' international experience and research expertise in international development subfields. Opportunities for engagement include fellowships and higher education research networks facilitated by USAID. Within USAID, the MSI program was specifically designed to increase the number of HBCU (and other minority HEIs) awardees in the agency. Several Agency initiatives and projects such as the FtF Innovation Lab, RTAC, LASER, and programs within the Global Health Bureau, have also been successful points of entry for HBCUs. Partnerships with intermediary organizations such as the UNCF resulted in sub-awards to HBCUs to increase their knowledge of proposal writing and award management. Finally, a recent executive order released under the White House Initiative on HBCUs requires each federal agency to submit an annual plan to:

1. Establish how the agency intends to increase the capacity of HBCUs to compete effectively for grants, contracts, or cooperative agreements.
2. Identify federal programs and initiatives where HBCUs are not well represented and improve HBCUs' participation in those programs and initiatives.
3. Encourage public-sector, private-sector, and community involvement in improving the overall capacity of HBCUs (Executive Order 13779, 2017:2).

Interviews

HBCU Barriers

Capacity

Out of the 23 HBCUs interviewed during this study, almost all indicated matching funds or capacity to apply as a barrier that limited their ability to compete for USAID awards in the past. However, roughly half of all HBCUs interviewed indicated that their institution currently has the capacity to successfully implement USAID projects as prime awardees. Researchers note that the interviewees who self-reported readiness for USAID partnerships are all classified as Research 2 HEIs and have international centers/programs and global partnerships.

One of the most significant barriers mentioned is limited funding and staffing in offices of research and sponsored programs. An administrator at Alcorn State explains, "Obviously we cannot compete with Rutgers as you see, if they're just going by the resources ... But 99 percent of [HBCU] professors have their degrees from those schools [predominantly white research institutions] so from USAID's perspective, they are well trained, you know?" The interviewee at Alcorn State raises a common point that reoccurred in many HBCU interviews. Based on measures of academic training, HBCU faculty and staff are qualified, experienced, and able to implement USAID projects. Indeed, when HBCUs do receive USAID awards, they are awarded at a subprime level, which indicates that although they may not have the funding or infrastructure to obtain prime status, prime awardees recognize their expertise and value to USAID projects.

Several HBCUs indicated that cost-sharing requirements are a barrier to applying and receiving USAID grants and contracts. An administrator at South Carolina State expressed that before applying for any grant opportunity the university poses the following questions regarding matches: Who will take ownership of that match? Where will [matching funds] come from? Does the university have resources in place? The interviewee notes that these questions are often difficult to answer due to already limited resources.

To corroborate this information, the research team examined 28 solicitations; including contracts, grants, and cooperative agreement; that funded various areas of international development. Only six (all contracts) out of the 28 solicitations reviewed had no cost-share or matching requirement. This requirement prevents many HBCUs from applying for large grants and cooperative agreements. This requirement also does not factor in the additional administrative component required of overly burdened HBCU institutions.

Given these constraints, it seems clear why more HBCUs pursue and implement awards at a subprime level. One USAID interviewee stated, "We do not have current cooperative agreements with HBCUs. We did not have any cooperative agreements with an HBCU in the past year. However, several of our programs have included substantial involvement from HBCUs as sub-award partners." USAID could explore alternative mechanisms that engage HBCUs with demonstrated subject matter expertise and international experience, above the sub-award level. HBCUs could be engaged at all levels despite their inability to provide matching funds and administrative capacity. The RTAC and LASER networks, for example, are good avenues to engage HBCU researchers who can provide their expertise independent of the limitations prevalent within their universities. There may be opportunities for similar mechanisms to be designed across the agency.

Some HBCUs report a long history of taking on large projects when they allow funding to be allocated to hire technical staff. An interviewee at Central State University detailed several large grants/contracts from various government agencies, "We have been pretty successful, and we have dealt with projects of all sizes. Of course, mostly within the United States. You know, anywhere from $100,000 to a million so far, and the highest project we have done was for HUD. We had a multi-institutional project for $25 million dollars. So now we can handle large projects provided that the project, you know, also provides funding for engaging additional staff and so forth, so we can handle that."

However, some HBCUs experience the more extreme end of fiscal constraints than the ones listed above. One interviewee at Winston Salem, explained that funding and capacity at his HBCU are very low and are now even lower this year due to dropping enrollment caused by COVID-19. As such, the priority of HBCUs such as Winston Salem is typically not to seek grants and contracts, but simply to stay afloat. HBCUs at this level of fiscal constraint rightfully prioritize student enrollment rather than applying for USAID funds and as such, USAID may need to factor this in when determining top priorities for USAID strategic engagement.

HBCU limited international experience and commitment to global partnerships

Another common pattern that arose during interviews is the number of HBCUs with limited international experience. At many HBCUs, the resources needed to develop global partnerships and gain global experience in USAID targeted areas of development—a prerequisite for USAID funding—are often not present. This is cited as a primary reason many HBCUs are disqualified from receiving USAID

awards and is a problem many schools attempt to address through transnational partnerships and other activities. While some colleges, such as West Virginia State University, explain that global partnerships are not their primary priority, others, such as Alcorn State, argue that global partnerships are a significant priority but one that their university has limited resources to support. An administrator at Clark Atlanta University clarifies that, while the institutional leadership often articulates *support* for global partnerships, the institutional *commitment* needed to uphold that support is often not present: "There is commitment and there is institutional support, you know? Support is very vocal but let's make it happen, right? Commitment is that. You have to invest some resources into each initiative."

An administrator at the University of Arizona Pine Bluff expressed concern with the experience needed to receive funding: "I used to subscribe to a weekly announcement of international opportunities, and everybody wanted a country director with 10 years' experience. And you just kind of have to wonder if no one is investing in and building a generation of people who can become country directors at some point in time. There is not going to be anybody out there. You're just using the same people over and over." This constraint illustrates that current funding eligibility criteria can exacerbate existing funding disparities between HBCUs and PWI that are repeatedly funded by USAID. This also discourages those colleges and universities that may have the financial and institutional capacity to work in global regions.

HBCU Networks Knowledge of USAID Programs

Another important theme is that many HBCUs articulate limited-to-no knowledge of USAID or its programs. Although all respondents had job/research functions that align with USAID functional bureaus, their knowledge of USAID was limited. Many had been awarded international program or research funds in the past, but only a few were awarded by USAID. Several had never heard of USAID before their interview but indicated that, as a result of the interview, they would be interested in competing for awards.

A senior level staff member at West Virginia State University had attended a U.S. government informational session that featured USAID and remembered thinking that her university would be interested in the awards USAID had to offer. However, she had no idea where to begin in reaching out to USAID, "For the USAID presentation from the White House, I thought, 'Wow this is great', but I didn't immediately see a connection and couldn't figure out how we might follow up or apply."

Similarly, the interviewee from Clark Atlanta University attended a USAID workshop but failed to move his institution's interests to action. "We were given information, but there was no follow up from the CAU side. So, I think, you know, that we should have a Zoom kind of information session ... to have some information for us as to what kind of opportunities exist. You know, what is it? What kind of people or faculty or programs are eligible? What are the opportunities that exist?" The interviewee lamented that he was interested in supporting his faculty and staff to pursue USAID opportunities but was unsuccessful at following up with USAID after the meeting to learn about specific programs or how to apply for all the different award opportunities available.

An administrator at Bennett College describes the specific challenges that small liberal arts HBCUs face in applying for USAID funding: "There is a knowledge gap. They (HBCUs) have not seen proposal requests from USAID, so maybe a basic knowledge session would be helpful or really tailoring the things they send to liberal arts colleges. USAID could tailor the things they send to liberal arts colleges, the grants that are relevant to us". Many small HBCUs have limited support staff within their research and

sponsored offices, if these offices are staffed at all. Many large research institutions--a few R2 HBCUs but many R1 HEIs--have staff whose role is to collect and curate funding opportunities for faculty and research staff. Some have grants officers who can also assist faculty and staff in preparing proposals and applications. In these ways, research-focused HEIs (R1 and R2 institutions) are more likely to have the staff and time to obtain knowledge about each federal agency and understand its priorities. Although the scope of this project was not to assess and compare the capacities of HBCUs versus PWIs, it is important to note that 266 HEIs in the U.S. are classified as either Research 1 or 2, and only 11 of those are HBCUs (Carnegie Classification). Thus, forwarding RFPs and RFAs to all HBCUs, including small liberal arts colleges, through mass emails tends to be an ineffective means of encouraging them to apply.

When HBCUs do apply, many seem unaware of the requirements. One USAID interviewee laments that HBCUs, at times, "completely miss the mark and are asking for technical assistance or things [redacted program] does not fund. ... Hopkins, for example, is great at understanding [redacted program] and speaking to the application needs. For the HBCUs, they write about impacting basic education, which [redacted program] does not fund." A senior level faculty member at Morgan State University substantiates this by sharing her experience as a researcher whose work centers on economic development: "It's like I'm supposed to think a certain kind of way. And if I don't think a certain kind of way with my idea, there's like a funnel that you're supposed to go through with this. If you don't you know; you don't get in the system because you're not what they're looking for". Most striking in this example is that the HBCU applicant does not know what she does not know. In other words, though she understood that her applications missed the mark, she had no idea where exactly she went wrong and, subsequently, never applied for another opportunity again.

Recently, Morgan State University and Tennessee State University partnered with Geological Agriculture (GEOAg) on an innovation grant proposal through Development Innovation Ventures (DIV). Both universities and GEOAg believed their proposal to be strong and expressed frustration about their rejection and the lack of feedback they received. A member of GEOAg's leadership team expressed that the feedback was not clear and gave no tangible reason for denying the application. The organization decided that they "were moving on from USAID" because they had no idea how to improve upon their proposals in the future. This is an unfortunate loss given GEOAg's alignment with USAID Agriculture priorities and their partnerships with 15 HBCUs and 15 African Universities.

While some schools expressed minimal knowledge of USAID and others indicated that they are trying to establish a partnership, there are HBCUs that have had strong partnerships with USAID in the past. Schools such as Bluefield State and Central University were awarded multiple contracts and grants from USAID in the late 1980s through 2000s. At Bluefield State, a democratic institution-building training institute called Community Connections provided training from 1994–2008. The Director of International Initiatives stated that by the end of the program, people from over 60+ countries participated in the university's training program. An administrator at the Central State University stated, "When I came to Central State University in '89, we had USAID projects with Chile, Egypt, and places like that. We have trained people for USAID on short-term programs and six-month-long programs and so forth." Yet these schools have struggled to break through knowledge barriers at USAID to receive grants and contracts in recent years.

USAID Barriers

Knowledge of HBCUs

A total of 12 informal interviews were conducted with key actors in USAID. Two additional interviews were conducted with intermediaries between USAID and HBCUs: 1) the UNCF, and 2) a USAID prime partner (Michigan State University) that awarded a subaward to Tuskegee University. These interviews underscored that USAID and USAID stakeholders have limited knowledge of HBCUs. Most had heard of only a handful of the 101 HBCUs engaged through this study; few knew how diverse HBCUs are (e.g., HBCUs range from large research institutions to small liberal arts colleges). There are faith-based colleges, professional schools, two-year technical colleges, and four-year institutions. There are HBCUs that specialize in a range of research areas, many of which align with USAID functional bureau priorities, such as agricultural science, health and education, and the sciences.

Thus, the most prevalent barrier on the USAID side is limited knowledge of HBCUs. This may not be a surprise given the workloads and staffing shortages that exist in USAID offices. USAID's focus and priorities are on the work of missions abroad. As such, there is limited time to learn about all 101 HBCUs, their functions, research expertise, and structures. It is unlikely that an office as small as the MSI program (only one person at the time of this report), which also covers HSIs, TCUs, AANAPISIs, and a range of other responsibilities, would be able to stay abreast of these facts while also staying abreast of USAID's internal opportunities as well as those of other federal agencies.

HBCUs have diverse programs and partnerships throughout the world, including Africa, the Caribbean, Asia, Eastern Europe, and Latin America. Half of the HBCUs interviewed have previously had a global partnership with an entity in the Asia region, and many have ongoing partnerships with the Caribbean and African universities and NGOs through their large international faculty networks.

Two USAID interviewees indicated that lack of knowledge of HBCUs may be damaging within USAID, where prestige and name of school matter in terms of hiring and university partnerships. In other words, USAID awards often go to well-known schools, partly due to meritocratic measures but also based on name recognition. One interviewee stated, "Sometimes it seems that those making decisions at USAID want Harvard or the like. Staff members have never heard of many HBCUs and seem less interested when these applicants cross their desk." Another USAID interviewee explains, "It's the same with hiring. Offices want to hire graduates from prestigious schools and are less interested in graduates who attended schools they've never heard of." Many USAID interviewees were, perhaps understandably, unaware of HBCU rankings or reputation within research-specific subfields. Yet, another USAID interviewee explained that their office had to do extensive research to figure out which HBCUs specialized in research that aligned with their program's priorities. When our research team asked this interviewee whether a database containing information such as HBCU structures (R1 vs R2 vs small liberal arts, etc.), research expertise and research capacity, might be helpful, the interviewees replied emphatically, "Absolutely".

Navigating HBCU Administration and Communication

Many USAID interviewees reported difficulty in successfully contacting HBCUs. One USAID interviewee, who regularly liaises with colleges and universities in her role, explains that the PWIs are much more responsive when it comes to outreach. She offers that, "HBCUs seem to be adjusting to virtual learning much slower than PWIs. A handful of HBCUs have excellent infrastructure, like Spelman

and FAMU, but many others seem to struggle." The HBCU communication issues seem to be pervasive. The present study was not exempt from challenges pertaining to contacting HBCUs. The HBCU contact names and numbers compiled from a combination of our own efforts and MSI contact documents were out of date. Even administrative leadership roles at HBCUs seem not to be immune from high turnover rates, with roles changing every one to two years. Similarly, HBCUs are often hard to reach and their research and sponsored offices are slow to respond or similarly difficult to reach. While some USAID departments liaise with schools, others (as stated by another USAID interviewee) don't participate in any communicative activities at HBCUs: "We do not conduct outreach to specific schools—we send out funding opportunities to a Listserv of universities (primarily universities in the HESN 1.0 network), on grants.gov, through other HEI external networks, and we share funding opportunities with colleagues across the agency who then share with their network of universities." Sending mass emails to HBCUs is not seen as effective as these institutions are already overwhelmed with emails.

Too Few Applications from HBCUs

Finally, an issue uncovered during a handful of USAID interviews is that not enough HBCUs apply for opportunities. One USAID office laments, "In terms of outreach strategies, we are looking for ways to go beyond the same handful of colleges ... but we don't always know which HBCUs to do outreach for our programs". A representative from another USAID program mentioned that in their best year, they received 200 applicants for a university-oriented opportunity, and only a handful came from HBCUs. Most years, no HBCUs apply.

Surveys

The survey results complement the findings from the desk review and HBCU interviews. The survey consisted of questions for the following themes: faculty resources, networks, institutional advancement, academic programs, internationalization, and partnerships. Respondents were also asked questions regarding their demographic characteristics and their experience partnering with USAID, with others in their institution, and at other institutions. Figure 1 illustrates the diversity in institution and career types of respondents.

Figure 1. Respondent Characteristics
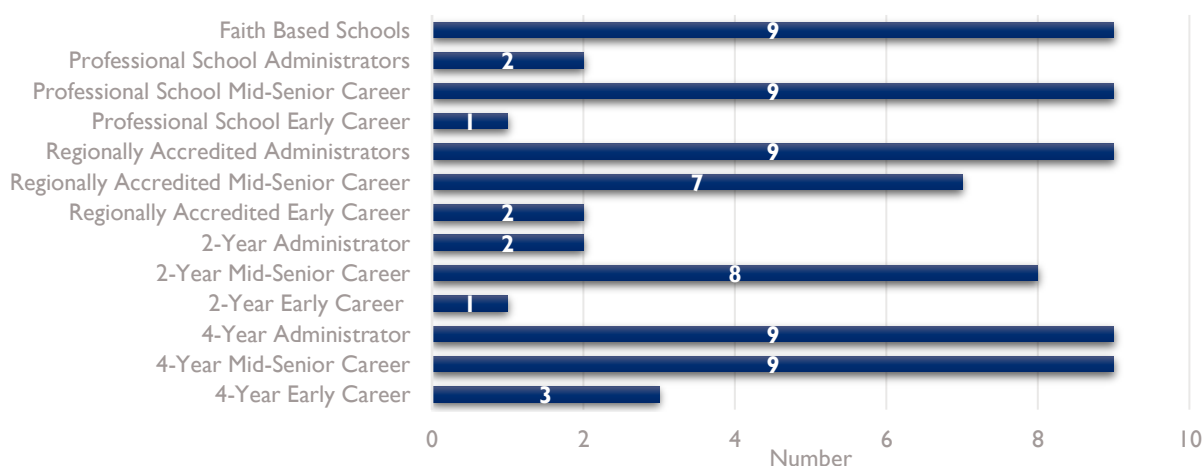
Types of Surveys: Institutions and Career Types of Respondents

Most respondents were mid- to senior career faculty or administrators (of two-year, four-year, regionally accredited, and professional schools). Very few early career faculty or staff completed surveys in any institutional cluster. A wide range of faculty and staff was represented in this study; responses ranged from administrative assistant to president. All levels of faculty career roles—from assistant to full professor— are represented along, with a range of non-academic unit titles, such as assistants, deans, department chairs, and program directors.

Respondents from 38 different HBCUs (see Table 1) responded to the survey. Some institutions had multiple respondents identified from the same institution and are reflected in frequency Table 1. Due to snowball sampling as a method of outreach, a few institutions have a larger sample size than the other HBCUs (i.e., Howard University, with n=8; and Southern University at Shreveport, Louisiana, with n=10). A few other HBCUs had four to five respondents, but for the majority of HBCUs only one respondent was reflected in the sample. Our results also illustrated that most of the institutions were reported as public (70.9 percent); however, there was a close percentage of HBCUs that were reported as private (n=71.1 percent).

Figure 2 shows the distribution of respondents' years of experience in their current position, with a relatively even distribution across "0-3 years", "4-10 years," and "10 years or more" categories. However, most respondents (79 percent) have worked in academia for more than 10 years.

Figure 2. Respondent Years (range) of Experience in Higher Education
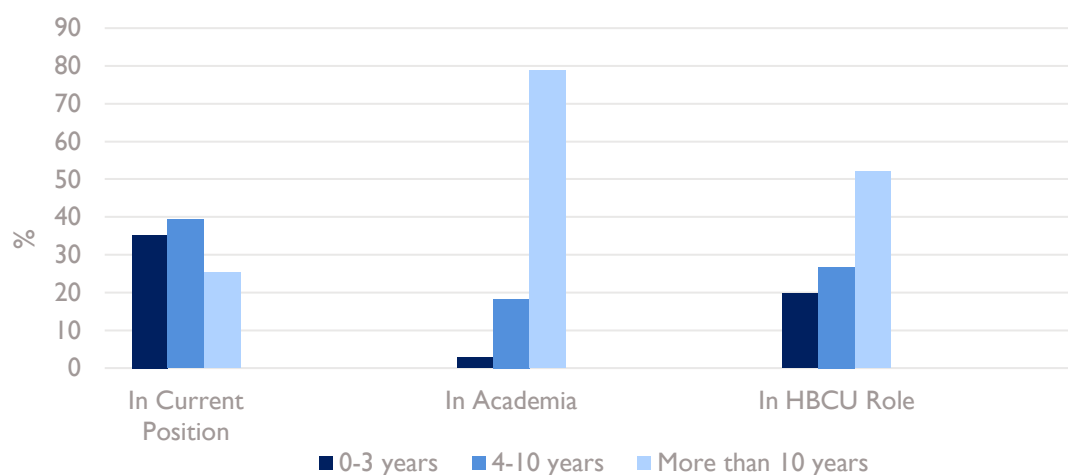
Figure 3 represents the profile of the average survey respondent. Results show that most of respondents self-identified as female (72 percent) rather than male (28 percent). Just over half of all respondents (52 percent) are HBCU alumni. Most respondents self-identified their race as Black or African American (75 percent), followed by White (20 percent), Asian (7 percent), American Indian/Alaska Native (3 percent), and then Native Hawaiian/Other Pacific Islander (1 percent). The modal age of respondents was "46-55 years" (32 percent), followed by "56-55 years" (25 percent), "36-45 years" (18 percent), and then "66-75 years" (17 percent). Very few respondents were in the "26-35 years" (4 percent) or "76 or older" (3 percent) age groups.

Figure 3. Profile of Average Respondent
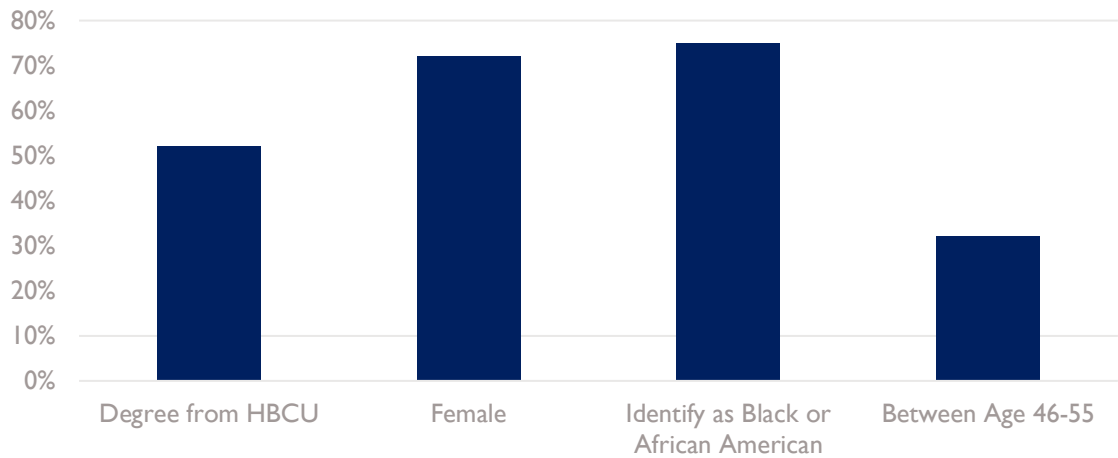
USAID Interests and Experiences

Figure 4 *r*eflects both faculty and administrative level of experience partnering with USAID, interest in USAID activities, and perceptions of the barriers to partnering with USAID. Two-thirds of the respondents reported interest in USAID programs while 17 percent indicated no interest. Another 17 percent indicated that they were "not sure" whether they are interested in USAID programs. Just over one-third (37 percent) of the respondents reported familiarity with USAID's programs and funding opportunities. The majority (59 percent), however, reported no familiarity.

Figure 4. USAID Interest and Experiences: Faculty/Staff Level
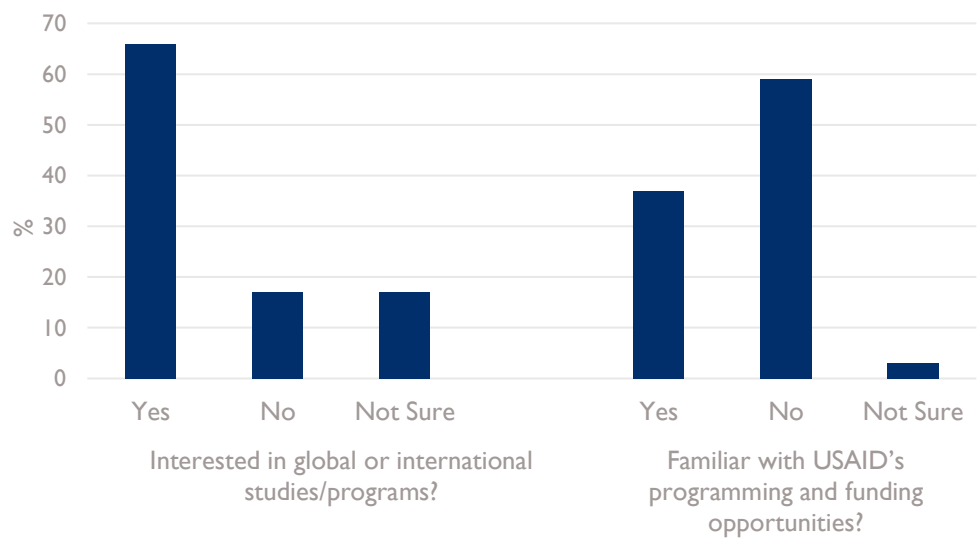
Teaching, Research, and Expertise Related to USAID Program Areas

A set of survey questions pertains to interest in and relevancy of work to USAID's program areas. While the phrasing for each question varied, the program areas of interest were the same on each survey. On some surveys, respondents were asked about their teaching and research related to program areas; on other surveys, respondents were asked about the relevancy of the USAID programmatic areas to the institution's or respondent's work. For the faith-based institutions, respondents were asked about the relevancy of the USAID areas to the institution's faith-based mission work. Figure 5 combines the responses by program area to provide a picture of the areas of interest across surveys.

Figure 5. Interest in or Relevancy of USAID's Program Areas to Respondent's Teaching, Research or Expertise and Institutions Missions
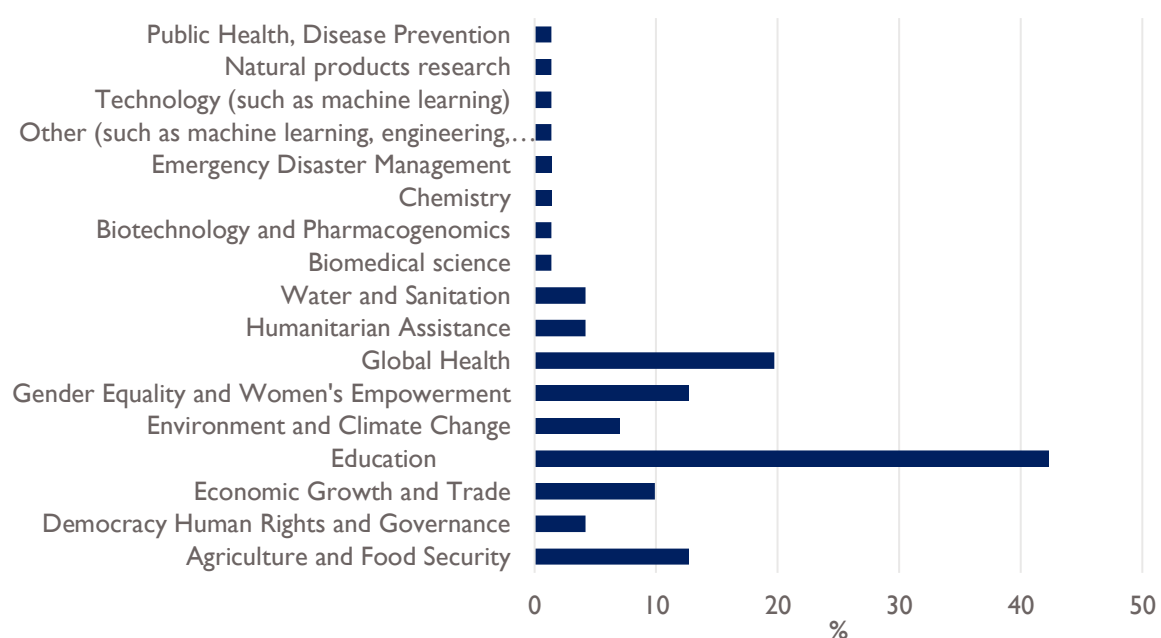
 "Education" was the most frequently reported area of expertise or interest (42 percent), followed by "Global Health" (20 percent), and both "Agriculture and Food Security" (13 percent) and "Gender Equality and Women's Empowerment" (13 percent). The other program areas were selected by only a handful of respondents, and several additional areas were written in as open-ended responses, including biomedical science, biotechnology and pharmaceuticals, chemistry, public health disease prevention, disaster management, and natural products research (each reported by one respondent). One faith-based respondent, who was asked whether USAID program areas relate to their institution's faith-based mission, wrote in "Engineering."

Partnering with USAID

Across all surveys, respondents were asked about their experiences partnering with USAID (current or previous) and about their experiences applying for USAID grants and contracts.

Only seven respondents reported previous experience partnering with USAID, and only three of these respondents provided descriptions of these experiences. One respondent reported a positive experience, but no funding resulted ("The experience was good, but the grant was not funded"). Another responded that several application submissions over a 13-year period resulted in only one positive result ("Have partnered and submitted more than 10 applications between 2006 and 2019 there was only one positive outcome"). The third indicated that "the process was pretty straight forward with the needed support mostly provided as warranted." However, this respondent provided no additional detail pertaining to what the experience or outcome was.

Explanations for not partnering. Respondents who reported never partnering with USAID were asked to provide a reason. Only ten of those respondents provided responses (see Figure 6) to this question. Some were not aware of USAID opportunities or processes for applying; indicating that nothing of interest ever became available; that they had not found an opportunity or the right opportunity; or reported difficulty with the application process. One respondent indicated that the process was complicated and another that they "wrote a grant but required support from a foreign partner that was more formalized" (than expected or planned).

Interest in partnering. Respondents were asked about their interest in partnering with USAID in specific program areas. Half of those who responded (12 respondents) said they would be interested in partnering. Only one responded indicated not being interested and the rest noted not being sure.

Specific assistance needed to partner. Survey respondents were asked about specific assistance needed to partner with USAID such as follows: articulated leadership commitment, administrative support, institutional policies to support/facilitate partnering, and goals pertaining to international curriculum and learning outcomes (see Figure 7). Respondents could also indicate "other" assistance needed. Of the five respondents reporting, all indicated they needed articulated leadership commitment, administrative support, and goals pertaining to international curriculum. Two respondents further indicated that institutional policies were also needed, and one respondent provided another type of assistance needed: "Demonstrated previous international education development relationships."

Figure 6. Explanations for not partnering with USAID

- *Wrote a grant but required support from foreign partner…*
- *Uninformed*
- *Nothing available*
- *Not aware of grants and process of application*
- *No, have not found the right opportunity*
- *No opportunity. Complicated process.*
- *No exposed, no info*
- *Need assistance with applying*
- *I have not as I was unaware of the opportunity to apply*
- *Did not know about it*

Figure 7. Types of Assistance Needed to Partner with USAID
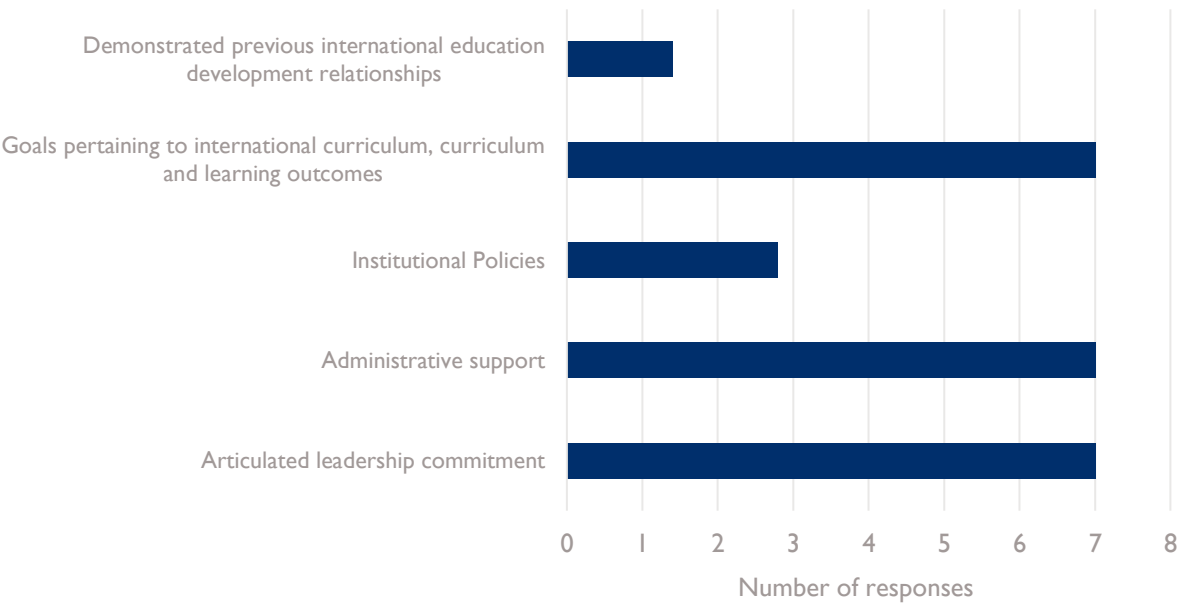
The following sections focus on open-ended questions about structures needed from their institution and USAID to support a partnership. Sample responses are presented as themes from the qualitative data (open-ended items in the survey).

Structures and Support Needed to Partner with USAID

Respondents in all categories (type of institution and role) were asked about the structures needed to effectively increase global engagement of and opportunities for students, faculty, and/or the institution as partners with USAID. Responses were open-ended—see responses in Table 8 for students, Table 9 for faculty, and Table 10 for the institutional level supports needed from USAID for faculty.

Student Engagement and Opportunities

Several respondents offered at least one suggestion for structures needed to increase engagement and opportunities for students. Study abroad programs were mentioned most frequently, along with the need for support through scholarships or funding to academic units/schools to support study abroad. Other suggestions were to align opportunities to licensing or other curricular requirements; provide orientation sessions for students and their faculty representatives on applying for funding or other opportunities; providing more funds and technical assistance to successfully compete for opportunities; and improving communications at all levels about the opportunities between the USAID and institutional administrators— as well as on campus between administrators and faculty and between faculty and students.

Table 8. Structures Needed to Increase Student Global Engagement (Sample Open Ended Responses)

Emergent themes	Theme clusters	Examples of Responses
USAID Support	Study Abroad Opportunities	Advanced training on the country of the study abroad programs
Institutional Support	Institutional Knowledge/Resources	Appoint people who are informed about global projects
USAID Support	Communication	Better dissemination of information
Institutional Support	Institutional Knowledge/Resources	Awareness of the opportunities followed by technical support for students
USAID/Institutional Support	Communication/Resources	Database of opportunities, information sessions, assistance with applications
Institutional Support	Internationalization of School Curriculum	Degrees that focus on global engagement and opportunities for students
Institutional Support	Student Incentives	Funding, tuition waiver and credit transfer opportunities
USAID/Institutional Support	Communication/Outreach	Global Exchange Opportunities/Events
USAID Support	USAID Knowledge/Resources	Offering some workshops or at least some literature highlighting the options/opportunities provided by USAID for MSIs.
Institutional Support	Study Abroad Opportunities	Institutionally Based Study Abroad Scholarships
USAID Support	Communication/Resources	Provide more global internships and fellowships
USAID Support	Communication/Resources	Provide scholarships and career opportunities for students

Faculty Engagement and Opportunities

As displayed in Table 8, several respondents offered suggestions to increase global engagement and provide opportunities within their own HBCUs. In addition to the need for additional funding, other resources, and technical assistance to pursue opportunities, faculty indicated a need for release time (e.g., through sabbaticals) to pursue global opportunities. Training or university support to students is also identified. Some faculty report interest in international student exchanges as well as interest in collaborating with others in domestic institutions (e.g., with Carnegie R-1 institutions with greater capacity) to build capacity at their HBCU. Institutional supports such as policy and grant staff were also mentioned as an institutional need. While respondents made suggestions regarding the internal structures at their institutions, some suggestions could also be supported by USAID, which is indicated in Table 9.

Table 9. Structures Needed to Increase Faculty Global Engagement (Sample Open Ended Responses)

Emergent themes	Theme clusters	Examples of Responses
USAID /Institutional Support	Communication	Awareness of opportunities followed by technical support – faculty
USAID Support	Communication/Outreach	Collaboration opportunities with PWIs at R1 institutions
USAID/Institutional Support	Funding Resources	Database of opportunities, information sessions, assistance with applications
Institutional Support	Funding Resources	Funding for research and travel
USAID/Institutional Support	Funding Resources	Professional Development Funding
Institutional Support	Professional Development	Incorporation of Global Engagement Activities in Tenure and Promotion Processes
Institutional Support	Faculty Incentives	Increase "Release Time" for faculty will expand international engagement
Institutional Support	Professional Development	Trained and Knowledgeable Grants Office
USAID/Institutional Support	Professional Development/Funding Resources	Symposium that target opportunities and funding
USAID Support	Professional Development	USAID faculty research abroad program
USAID/Institutional Support	Professional Development	Training for faculty to develop faculty-led programs

Support Needed from USAID for HBCU Faculty

An item on the surveys asked about support USAID could provide to faculty and staff at HBCUs in obtaining USAID grants and contracts. In total, 46 respondents provided suggestions (see Table 10). Many of the recommendations echo the themes in the earlier summary for faculty—provide release time; offer trainings (webinars as well as on campus) to prepare faculty to respond to grants and cooperative agreements; provide mentoring opportunities for faculty to be coached by successful awardees; and disseminate information about the USAID programs and opportunities more widely. Some respondents also requested institutional support from USAID to enhance global studies programs and for USAID to provide funding to increase USAID staff, neither of which are a support USAID can provide. Some faculty suggested that USAID could also work with intermediary institutions to promote the recognition of USAID-related work into academic tenure and promotion policies. As mentioned earlier, respondents frequently mentioned increased and improved communications with administrators (especially Deans) about USAID's offerings. While respondents suggested ways USAID could support HBCUs, some suggestions could be supported by their own institution, which is described in the next section.

Table 10. Suggestions for USAID Support to HBCUs (Sample Open Ended Responses)

Emergent themes	Theme clusters	Examples of Responses
USAID Support	Outreach	Increase number of staff available to work with HBCUs
USAID Support	Funding Resources	Diversify range of funding opportunities to incorporate more opportunities in the lower/mid-range of grant funds available
USAID/Institutional Support	Outreach/Communication	Conduct workshops, seminars, conferences to facilitate interactions between and among USAID officials and HBCU representatives
USAID/Institutional Support	Professional Development	Campus-Based workshops on USAID Proposal Processes and Best Practices related to development of competitive proposals.
USAID Support	Professional Development	Information sessions, examples of winning applications, pre-submission review and feedback, support for re-submissions if allowed
USAID Support	Professional Development	Mentoring programs, asynchronous training, longer timelines for applications
USAID Support	Funding Resources	Small grants designated for early career faculty
USAID/Institutional Support	Professional Development	More research opportunities that translate to academic credit.
USAID Support	Outreach/Professional Development	Webinars specific to small research developing colleges
USAID Support	Funding Resources	Waiving off matching requirements
USAID/Institutional Support	Funding Resources	Support current global programs
USAID Support	Outreach	Work directly with us - not as a group- but individually so that we may tap into the unique strengths we have to offer
USAID/Institutional Support	Professional Development	Work with the University Research Office to provide training on the grant/contract opportunities and encourage subcontracts between recipients and HBCUs as we get acquainted with USAID processes.

Institutional-level Engagement and Opportunities.

This item was not asked of all respondents; therefore, fewer respondents (n=22) provided suggestions. In addition to increased funding and staffing, several comments were directed toward providing centralized or dedicated points on campuses to support partnerships and other global engagements. Other suggestions included providing technical assistance and partnering with other institutions to pursue opportunities. While one respondent suggested an annual cycle of funding, another suggested year-round application opportunities.

The survey results showed a wide range of respondents from diverse roles, levels of experience, and institutions. There was overwhelming interest in increasing global engagement and opportunities for students and faculty. Specific structures and processes are needed to support HBCU students, faculty, and staff students as they apply for support from USAID and pursue global engagement opportunities. Some respondents have already tried or are now interested in USAID opportunities, but may need assistance both with finding funding opportunities and support provided during the actual application process. Institutional support is also needed, several forms of which USAID could facilitate, such as offering training for HBCU staff, providing guidance on dedicated places on campus to support for global engagements, and facilitating mentoring or partnerships between college and university researchers.

5.   Discussion and Recommendations

This study yielded several insights into the barriers to partnering faced by both HBCU faculty and staff as well as USAID staff. Some of these barriers are structural (e.g., fiscal and policy constraints) and others are individual (e.g., competing personal and professional demands, faculty professional networks, USAID staff preferences). The following is a summary of the major findings from this study, along with a list of recommendations for USAID to consider as they attempt to increase engagement and improve the competitiveness of faculty, staff, and students at HBCUs.

Facilitate Collaborative Research Networks

Many HBCU faculty expressed a desire to partner with researchers on USAID projects as a means to combine resources, lessen the workload on proposal drafting, and scale up research expertise. When asked about partnering with other faculty on USAID grants, a senior professor at Xavier University in Louisiana explained, "Such opportunities are difficult to navigate, considering that small faculties and small programs usually don't have two faculty in the same interest area and certainly not with time to share potential overlaps in their research. It is easier to share across institutions than within." HBCUs would greatly benefit from expanding their own faculty network to other schools to maximize resources when applying for USAID opportunities. USAID could provide an online space for staff within these institutions to network, learn about each other's research areas, and explore avenues for potential partnerships.

Recommendation A1: Develop an MSI networking platform that will serve as a partnership consortium for all minority serving HEIs, thus expanding their networks and increasing their competitiveness to compete for USAID awards. The purpose of this platform will be to convene AANAPISIs, HBCUs, HSIs, TCUs, as potential collaborators with one another through an online space. However, this network

could also be made available to PWIs to collaborate with MSIs including and beyond as subprime partners. The MSI team could create a content-rich website that provides access to funding information, bureau priorities, and agency initiatives and acts as a space to facilitate partnerships among institutions and individual researchers. Additionally, the webpage could provide opportunities to feature recently published research from MSIs as well as best practices for global partnership development and collaborate on new ideas that address development challenges.

Streamline Communication and Knowledge

Information flows through multiple channels within USAID, housed in several bureaus and offices in the Washington office and field missions. MSI coordination requires increased staffing support to stay abreast of funding opportunities, MSI outreach (including outreach to HBCUs), and agency priorities. One coordinator is not able to serve as a knowledge resource for all HBCUs while managing all outreach, communication, training, workshops, USAID initiatives, M/B/IO funding opportunities, and potential governmental and nongovernmental partners.

Recommendation B1: Enhance the MSI program's functional capacity. Information officers could help the MSI program stay abreast of relevant information in USAID, the interagency, Congress, and among HEI stakeholders. The MSI program should include staff who can function as Information Officers who are knowledgeable about legislative priorities, potential collaboration opportunities among other federal agencies, and the potential for non-governmental collaboration. Officers would also be knowledgeable about relevant programs and initiatives within USAID's M/B/IOs. Given the vast number of field missions to cover, each officer would focus on targeted geographic regions. Due to the large number of HBCUs with interest in Africa and the Caribbean, we recommend splitting the regional coverage of the officers as follows:

HBCU Spotlight – Tier 2

A commitment to providing affordable and accessible quality undergraduate and graduate degree programs

South Carolina State

SC State University is the only HBCU to be ranked as an overperforming college in the United States—as well as being ranked number 5 among national public HBCUs—by *U.S. News and World Report*. The college was also identified as the exclusive HBCU for research in the state of South Carolina by *Forbes* magazine.

SC State is a previous partner of USAID through their textbook program. Staff and faculty are experienced partners and ready for additional partnership opportunities with USAID through their multiple research and policy institutes, such as the 1890 Research & Extension program, Environmental Policy Institute, or Center for NASA Research and Technology Institute.

Quote: "When I look at USAID, one of the primary things that you are interested in is … developing countries—particularly in areas like education, agriculture, economic growth, youth, and poverty…. I have staff that is constantly looking at agency programs going out, particularly the ones that relate to HBCUs. We then match those programs with the capability within the university. For example, the textbook project came about for South Carolina State because it had a strong educational piece to it. And we have a college of education." —Associate Provost Elbert Malone

Research Areas: Climate Change, Community, Leadership and Economic Development, Family and Consumer Sciences, Food Safety, Global Food Security and Hunger, Natural Resource Management, Sustainable Animal Production Systems, Sustainable Energy

Contact: Dr. Elbert Malone, Associate Provost for Sponsored Programs and Research malone@scsu.edu

Officer 1: Bureau for Africa, Bureau for Latin America and the Caribbean

Officer 2: Bureau for Asia, Bureau for Europe and Eurasia, Bureau for the Middle East

As an illustrative example, an HBCU seeking USAID funding for work in a particular country could reach out to the appropriate Officer covering that region. The HBCU would learn about USAID Mission priorities and the functional bureau initiatives in that country. The Officer would also provide information about MSI workshops to help HBCUs understand the steps of federal funding procurement.

Recommendation B2: Enhance the MSI program's communications capacity by increasing the MSI office's ability to provide logistical and technical assistance support to HBCUs that have limited capacity to compete for USAID awards. Communication capacity could be increased through the hire of an additional communications staff member or contractor. The content of communications could include, for example: Country Development Cooperation Strategies (CDCS) updates, answer frequently asked questions, send relevant grants solicitations, information about USAID priorities, new initiatives, best practices, and upcoming workshops.

MSI information and communication officers would work collaboratively to ensure that all MSIs and USAID M/B/IOs are well informed of the partnership potential.

Decrease HBCU Knowledge Gaps

HBCUs have limited support within their research and sponsored offices. Conversely, large, well-funded HEIs can allocate more resources toward understanding the requirements and priorities of the agency. HBCUs have noticeably limited capacity in this area. Though HBCU applicants display technical expertise and interest, application materials submitted often highlight an HBCU's limited knowledge of USAID program requirements and priorities. Enhancing the communications capacity within USAID's MSI office is one way to address this issue (Recommendation B2). However, expanding HBCU faculty and institutional networks also has the potential to mitigate HBCU knowledge gaps.

Recommendation C1: Rather than hosting one-off information sessions with the HBCUs that request workshops, USAID should host semiannual virtual and/or in-person information sessions with research and

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HBCU Spotlight – Tier 1

A commitment to academic excellence, affordability, and diversity

Florida A&M University

Florida A&M University (FAMU) is the highest-ranking public HBCU, according to *U.S. News and World Report* (2020). The university's engineering doctoral degree program is ranked in the top 100 among all colleges and universities with engineering programs.

FAMU's Sustainability Institute is particularly primed for partnership with USAID. The Institute already partners with the Florida Climate Institute and India's National Council for Climate Change Sustainable Development and Public Leadership, among others, to provide solutions to global socioeconomic, ecological, and energy sustainability issues. Additionally, FAMU researchers working in Gujarat, India, trained 5,000 farmers on the management of soil salinity and have also conducted farmer-to-farmer projects in Ghana, South Africa, the Dominican Republic, and Haiti.

Quote: *"We received a grant from National Geospatial-Intelligence Agency, when we established a global intelligence program here on campus.... As a matter of fact, today we actually have a degree in global security and international affairs at the undergraduate and graduate-level."* —Dean Gary Paul

Research Expertise: Agriculture and Food Sciences, Environmental Studies, Engineering, and Pharmacy

Contact: Dr. Odemari Mbuya, Faculty Director of the Sustainability Institute, Director of the Center for Water and Resources odemari.mbuya@famu.edu

sponsored offices at MSIs. These sessions could coincide with the beginning of the academic fall and spring semesters. The information sessions would essentially mirror the one-off information sessions HBCUs' interviewees reported as helpful, in that each workshop would provide an overview of USAID's structure and programs, application processes, and management of awards. The sessions would also provide an overview of at least one specific funding opportunity and one agency priority. Each session will also provide up-to-date information on opportunities for individual researchers (e.g. RTAC, LASER) and students (e.g. Payne and other fellowships). These sessions would be managed by the MSI Coordinator with input from MSI information and communications officers.

Recommendation C2: Convene an annual HEI Conference to facilitate networking, collaborating and learning. Considering current COVID-19 limitations, this conference can also be held online via live video feeds, allowing attendees to discuss issues, present work, and network without leaving their homes or offices. An annual conference would be particularly helpful to engage smaller colleges as well as consortiums that are less familiar with USAID programs. Virtual breakout rooms could facilitate networking among attendees, and participants could use the chat features of virtual meeting spaces to share their interest and contact information with others. The annual conference will also serve as a space to facilitate partnerships between HEIs (PWIs and MSIs).

Decrease USAID Knowledge Gaps

USAID M/B/IOs have limited knowledge of HBCUs. HBCUs have diverse programs, missions, and areas of expertise. They also range from large research institutions to small liberal arts colleges. A major finding from USAID interviews was that USAID staff had limited knowledge of the diversity in structure, capacity, and research expertise that exists among HBCUs. To facilitate knowledge sharing about HBCUs, the MSI Coordinator could take on the role of ensuring that USAID staff and leadership are informed about HBCUs (and MSI).

Recommendation D1: Synthesize this information by hosting regular "Brown Bags" or "MSI/HBCU Spotlights" (virtual or in person) for all USAID entities with an interest in diversifying their HEI partnerships— and particularly for those who are interested in HBCUs.

Recommendation D2: Construct an internal database of all HBCUs, categorizing these institutions by tiers of partnership readiness based on their international experience, research capacity, structure, and size. Secondarily, this database would include up-to-date contact information for offices of research and sponsored programs. It would also provide information about each HBCU's area of expertise, as they align with the USAID functional bureau and area of expertise. Providing USAID M/B/IOs with an internal tiered categorization of HBCUs would enable USAID to target their outreach and engagement with HBCUs based on objective and standardized criteria.

As an illustrative example, HBCUs could be categorized into three tiers of readiness:

Tier 1: HBCUs that are Research 1 or 2 institutions

Based on documents received during the desk review, all FY 2019 USAID grant awards went to Research 1 and Research 2 HEIs, regardless of their status as predominantly white or HBCU institutions. Baccalaureate colleges, associate degree-granting colleges, and special focus colleges (technical and vocational) institutions received no grant awards during the fiscal year examined. As such,

HBCUs that are in the Tier 1 category of readiness include the 11 HBCUs that are, at minimum, Research 2 institutions. Based on findings within this research study, these 11 schools could be further narrowed to those that have international experience or partnerships. HBCUs in the Tier 1 category of readiness may be strong candidates for prime awards or cooperative agreements.

Tier 2: HBCUs that are not Research 1 or 2 but have global partnerships and experience

These HBCUs currently have at least one of the following: international programs, global partners, or research programs that align with USAID priorities. These HBCUs are categorized in Tier 2 because their HEI designation falls below Research 2 classification and thus their structure may not be able to support large grants and programs. Additionally, these HBCUs may or may not have received USAID awards in the past but are likely strong candidates for subprime awards or cooperative agreements.

Tier 3: Limited research capacity and little to no global partnerships or interest

HBCUs categorized as Tier 3 have made little-to-no progress in terms of internationalization due to their limited financial capacity and inability to or disinterest in gaining global partners. Many of these HBCUs articulate an institutional focus on domestic rather than global partnerships. While these schools may not currently have the capacity or experience to receive USAID grants or contracts, individual researchers from these schools can still be engaged in USAID's work through projects funneled through intermediary entities (such as RTAC or LASER) and students may be eligible for USAID internships and fellowships.

Recommendation D3: Convene USAID and HBCU leadership annually to debrief college presidents about USAID funding opportunities and priorities and update USAID on HBCU programs. This will serve as an opportunity for HBCU presidents to spotlight their college/university's latest research projects and partnerships. The initial invitation for this USAID-HBCU annual leadership conference could be extended to Tier 1 HBCUs, then

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HBCU Spotlight – Tier 3

A commitment to global education, women's leadership, and social justice

Bennett College

Bennett College is a small liberal arts college devoted to the education of women. The college takes an intersectional approach to gender disparities in all its endeavors, from research to curricula to programs. An intersectional approach to gender acknowledges that gender combines with other identities—such as race, ethnicity, and class—to produce diverse modes of disparity. From the sciences to the liberal arts, students and faculty apply this approach to everything they do and learn.

Bennett students would benefit from exposure to international development work through USAID's global internships and fellowships. Similarly, USAID would benefit from engaging Bennett students early in their studies to encourage them to join USAID as graduates. USAID would also benefit from the expertise of Bennett's researchers, who are uniquely positioned to provide technical assistance on projects that empower women and girls, making gendered approaches possible in countries where gender intersectionality impacts development outcomes.

Quote: *"Why do so many young girls in K-12 say they want to be a teacher? It's because they see that. When students don't see examples of what they can be, and they don't have the opportunity to experiment with new careers, their worlds become smaller…. The imaginative leap it takes to get to 'my dream is to become a diplomat' when she has never met one is simply not realistic for many first-generation students, particularly women of color."* — *Executive Director Anne Hayes*

Research Areas: Women of Color, Civic Engagement, Social Justice, Global Leadership

Contact: Anne Hayes, Executive Director of Global Leadership & Interdisciplinary Studies anne.hayes@bennett.edu

expanded to HBCUs in other tiers, based upon the outcomes of the pilot convening.

Set Benchmarks and Track HBCU Engagement

The White House Initiative on HBCUs implores agencies to "develop plans for how to increase engagement with HBCUs and also track engagement goals with clear and measurable statistics." Currently, the Global Acquisitions and Assistance System (GLAAS) does not allow staff to disaggregate the USAID implementing partners who are HBCUs. Quick access to the number of HBCUs funded each year through acquisitions and assistance allows consistent tracking of whether USAID is meeting this benchmark for diversifying partnerships at the prime and subprime level.

Recommendation E1: Set clear benchmarks for acquisitions and assistance awarded to HBCUs at prime and subprime levels and regularly track progress. A GLAAS identifier indicating obligations to HBCUs could be created to allow these data to be disaggregated and accessible. As an incentive, USAID Bureaus (B) and Independent Offices (IOs) that contribute to increasing diversity of implementing partners, including MSIs and HBCUs, could receive annual recognition by agency leadership. Additionally, USAID could create an incentive to encourage prime awardees to partner with HBCUs, particularly with HBCUs who do not yet meet certain funding eligibility criteria (e.g., international experience). Such incentives could be listed within funding announcements, similar to that which encourages partnership with small businesses to support the growth of small entities who are less likely to be competitive for funding.

Enhance Operational Capacity

Based on the survey and interview results, organizational capacity was the most discussed barrier to HBCUs receiving USAID awards. Limited funding and staffing, particularly in offices of research and sponsored programs, prevent HBCUs from successfully applying for grants. Grants with financial requirements, such as cost-sharing, limit the number of HBCUs who can apply. While USAID does not provide grant funding to increase staffing levels or enhance capacity at HBCUs. Several alternative recommendations may mitigate the severity of this problem.

Recommendation F1: Reconsider the cost-share requirements for grant awards. Matching fund requirements often hinder HBCUs from seeking a long-term partnership with USAID. Even when HBCUs can implement a USAID award in terms of research staff and administrative support, their institutions may not have the cash on hand to support the cost-share requirement. Consider whether this requirement can be reduced in certain grant requirements.

Recommendation F2: The OSDBU could limit solicitation to recruit HBCUs/MSIs with the knowledge/expertise to implement a project. In those cases, OSDBU can recommend an HBCU for the award while the grant is in the portal for review. Additionally, USAID can limit a solicitation to a specific set of HBCUs or MSIs by including language within the solicitation. As one USAID interview explains, "We can limit some solicitations to select organizations who we know are the expert, so we can say that we're only going to send it to these two or three organizations."

Recommendation F3: Allocate funding in the New Partnerships Initiative to HBCUs. This initiative has the potential to increase the number of HBCUs who work with USAID. The New Partnerships Initiative

is a potential funding source for the agency to partner with entities that have received no more than $5 million from the agency in the past. Thus, this Initiative is one example of a funding mechanism USAID can draw upon to fulfil MSI's program goal—to create new HBCU partners—while also supporting the primary goal of the Initiative—to diversify USAID's partner base by removing barriers to engagement with the agency. Initiative funding could be managed through the MSI office, where assessments can also be made to determine a school's eligibility and preparedness for funding.

Recommendation F4: Encourage HBCUs to engage with the Congressional Black Caucus (CBC) about alternative funding streams available to support HBCU capacity. Many CBC members are HBCU alumni, advocates, and/or engaged with organizations such as the UNCF directly. The CBC can act as legislative advocates for HBCUs and also guide them toward alternative federal funding avenues that are designed to support the staffing, fiscal, and infrastructural needs of U.S. HEIs.

6. Conclusion

The findings in this study present new insights for USAID M/B/IOs in terms of the barriers that exist for establishing, maintaining, and sustaining partnerships with HBCUs. Findings suggest that barriers across all four ecological systems (microsystem, mesosystem, exosystem, macrosystem) prevent HBCUs from competing for and receiving grants at a greater rate than previously received.

The scope of this study was to conduct desk reviews and virtual outreach to HBCUs. Using this approach, the research team obtained rich data pertaining to HBCU experiences with USAID and vice versa. These methods also uncovered HBCU strengths and weaknesses in terms of internationalization. Future research should advance this study by comparing the barriers experienced by HBCUs with the barriers experienced by non-HBCUs. Adding a comparative component to this study allows for drawing causal conclusions about the impact of each barrier.

One significant study has detailed the institutional capacity gap that currently exists within HBCUs, preventing these institutions from maximizing their internationalization efforts (Davis, 2014). While the purpose and findings of this present study uncover clear patterns of institutional capacity gaps as *reported* by the HBCU interviewees and the survey respondents, an organizational audit of the capacity gaps that exist should be conducted with HBCUs in a future study. Similar to the Davis (2014) study on internationalization, an assessment of HBCU institutional capacity for USAID funding could entail campus visits and reviews of HBCU annual reports, strategic plans, mission statements, budget documents, staffing levels, and other documents. It is our hope that this study provides insights on HBCU barriers to federal funding opportunities, upon which future research can build.

HBCUs' faculty are not only in charge of teaching courses; they also write grant proposals and establish partnerships with limited assistance from support staff in research or partnership offices. The institutional structure of HBCUs increases the teaching and student support workload for faculty and limits faculty capacity to conduct their own research and secure external partnerships or funding. A future study might also compare faculty constraints to competing for awards between those working in PWIs and HBCUs.

An exploration of cultural factors was not examined in this study's use of the Bronfenbrenner framework but future studies could build on this study to uncover cultural barriers to partnerships

between USAID and HBCUs. Frameworks such as Developmental Niche might uncover potential racial factors that act as structural barriers that prevent HBCU partnerships with USAID.

Additionally, an examination of the solicitation process for cooperative agreements and grants across all M/B/IOs might illustrate the ways solicitation requirements prohibit HBCU applicants, such as through cost-share requirements and previous experience, but also through other potential means. Many HBCU applicants expressed frustration in the USAID application process. Through an examination of a sample of solicitations, the research team found variances in the types of requirements and experiences needed. An exhaustive audit of the agency's solicitation processes would uncover the existence of factors that exacerbate disparities and prevent HBCUs from applying.

USAID has given $7.8 million to HBCUs between FY 2014 and FY 2020. Currently, however, only a handful of HBCUs receive USAID funding as prime or subprime awardees, all awardees were Research 2 HBCUs with prior international partnerships and experience. This is a fraction of the amount HBCUs are awarded from other federal agencies, such as the Department of Education ($150 million annually) and the Department of Health and Human Services ($175,227,288 in 2014) (Toldson, Branch and Preston, 2020). USAID can re-engage and develop new partnerships by providing opportunities to HBCUs through grants, contracts, fellowships, and many other forms of financial in-kind support. USAID has the opportunity to develop and harness the skills and expertise of HBCU faculty, staff, and students who can provide culturally competent practices to USAID M/B/IOs as they become the next generation of USAID civil and Foreign Service employees. The benefits of partnering with these institutions are timely and boundless.

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Appendices

Appendix 1. USAID Solicitations Reviewed

Table 11. USAID Solicitations Reviewed

Category	Funding Number	Grant/ Cooperative Agreement	Cost Share/ Matching
Health	RFA-521-17-000002	Cooperative Agreement	No
Community Development	RFI-383-GVP-17-001	Cooperative Agreement	Yes
Health	NFO-294-15-000001	Cooperative Agreement	No
Multiple	APS-OAA-14-000001	Both	Yes
Food & Nutrition	HAITI-521-12-0050	Cooperative Agreement	Yes
Health	SOL-521-12-000043	Cooperative Agreement	Yes
Health	SOL-OAA-12-000091	Cooperative Agreement	Yes
Multiple	RFA-OAA-12-000027	Both	Yes
Health	SOL-OAA-12-000017	Cooperative Agreement	Yes
Other	APS-OAA-12-000003	Cooperative Agreement	Yes
Infrastructure	RFA-294-12-000006	Cooperative Agreement	Yes
other	USAID-W-OAA-GRO-LMA-11-022613	Cooperative Agreement	No
Climate Change	USAID-W-OAA-GRO-11-00603	Cooperative Agreement	No
Disaster Relief	FFP-11-000001	Grant	No
Health	SOL-OAA-11-000042	Cooperative Agreement	Yes
Business and Commerce	521-11-021	Cooperative Agreement	Yes
Health	SOL-OAA-11-000041	Cooperative Agreement	Yes
Agriculture	RFA-386-11-000001	Cooperative Agreement	Yes

Category	Funding Number	Grant/ Cooperative Agreement	Cost Share/ Matching
Health	SOL-OAA-11-000009	Cooperative Agreement	Yes
Regional Investigative Journalism	SOL-OAA-11-000004	Cooperative Agreement	Yes
Health	RFA-OAA-10-000007	Cooperative Agreement	Yes
Health	RFA-OAA-10-000004	Cooperative Agreement	Yes
Community Development	RFA-279-10-006	Cooperative Agreement	Yes
Community Development	279-10-012	Cooperative Agreement	No
Health	MOAAGHPOP-19-0110	Cooperative Agreement	Yes
Health	M-OAA-GH-POP-09-0709	Cooperative Agreement	Yes
Health	M-OAA-GH-POP-09-1031	Cooperative Agreement	Yes
Science & Technology	M-OAA-EGAT-08-1108-APS	Cooperative Agreement	Yes

Appendix 2. Survey/Questionnaire Questions

Table 12. Survey/Questionnaire Questions

Question Bank	Survey Respondent Type												
	4-year			**2-year**			**Regionally Accredited**			**Professional Schools**			**Faith-based**
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
Questions pertaining to individual faculty resources—													
Are you familiar with USAID's programming and funding opportunities?													
Which of USAID's program areas are most relevant to your current research?													
Have you ever applied and received a USAID grant in the past? If yes, please describe your application experience and the program? I													

Question Bank	Survey Respondent Type												
	4-year			**2-year**			**Regionally Accredited**			**Professional Schools**			**Faith-based**
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
If you have never applied to a USAID grant/opportunity, please explain why?													
What assistance could USAID provide to assist you in partnering with the agency? What assistance could your college/university provide?													
Have you ever participated in an MSI/HBCU USAID workshop? If yes, How many? Did you find the workshop helpful?													
If you have attended an MSI/HBCU													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Early	D11 MidSr	D12 Admin	E13 All status
workshop, what would you like to see added to the curriculum?													
What is your University's overhead cost for administering the external grants you receive?													
When grants are awarded to your university how long does it take for you to begin working on the project?													
---Questions pertaining to faculty networks---													
Within [college/university] are there faculty and staff with whom you could													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
partner on USAID partnerships/grants in your research area?													
Outside of [college/university] are there faculty and staff with whom you could partner on USAID partnerships/grants in your research area?													
Does your professional network *in PWIs within the U.S.* include faculty and staff with whom you can partner on USAID partnerships/grants in your research area?													
Does your professional network *in foreign-*													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
based colleges/universities external include faculty and staff with whom you can partner on USAID partnerships/grants in your research area?													
Does your school foster relationships among faculty at local/sister universities?													
Does your school foster relationships among faculty at non-local universities?													
Does your school fund membership of faculty in professional networks?													
---Questions pertaining to													

Question Bank	Survey Respondent Type											
	4-year			**2-year**			**Regionally Accredited**			**Professional Schools**			**Faith-based**
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
institutional advancement---												
Is global/international learning articulated as part of [college/university's] vision, mission, or goals?												
Can you describe your institution's goals for international learning? How are those goals articulated?												
Does your institution have a globally-focused office, center, or institute pertaining to student/faculty learning, training, research, or volunteer work?												

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
Where does primary responsibility for globally-focused partnerships within your institution lie? (e.g., President, provost, etc.)													
What governance structures support globally focused partnerships?													
How does [college/university] support global partnership engagement? Grants or funding opportunities?													
What percentage does your university charge to administer any external grants you receive?													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
Are current administrative policies and procedures pertaining to global partnerships effective?													
How effective are the administrative policies and procedures pertaining to *student* global opportunities (such as financial aid and credit transfer for study abroad)?													
Does your institution have grant/administrative staff dedicated to support faculty and senior leadership grant development? I.e. proposal, budget and packaging support.													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
If yes, how many people does your [college/university] have on staff to provide this support?													
---Questions pertaining to academic programs---													
What forms of support (e.g., sabbaticals, teaching obligation waivers) are available for faculty who pursue global partnerships and opportunities?													
Does [college/university] have student learning goals associated with the global and international dimensions of undergraduate													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
and/or graduate education?													
How are these goals assessed?													
Is there coordination between curricular and co-curricular efforts to achieve the desired student and learning outcomes?													
In what ways are students encouraged to or discouraged from pursing international learning, volunteer, and research opportunities outside the United States?													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
What are the enrollment trends of international students?													
What percentage of your staff are international faculty?													
-Institutional Level, Fundraising and Partnerships													
How many international partnerships exist at the institution? How is effectiveness of those partnerships gauged? How are the partnerships managed and by whom?													
How does your institution cultivate international partnerships?													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
Does your institution partner with other HBCU's on research, grants and contracts?													
What formal supports or policies exist for faculty members to pursue global partnerships and/or opportunities?													
Does the University engage the White House Initiative on HBCU's to secure additional funding? Do you believe that engagement could broaden the capacity for global partnerships within your institution?													

Question Bank	Survey Respondent Type												
	4-year			2-year			Regionally Accredited			Professional Schools			Faith-based
	A1 Early	A2 MidSr	A3 Admin	B4 Early	B5 MidSr	B6 Admin	C7 Early	C8 MidSr	C9 Admin	D10 Ear-ly	D11 MidSr	D12 Admin	E13 All status
What structures should be in place to increase global engagement and opportunities for students? Faculty? Your institution?													
What are the areas of expertise for which your institution most well-known?													

Appendix 3. Interview Questions

Interview Questions
College/University Administration

---Part A. Questions pertaining to individual faculty resources---

1) Describe your level of familiarity with USAID's programming and funding opportunities?

2) Describe your institution's administrative approval process when receiving external grant and/or contract opportunities? Are there administrative costs?

---Part B. Questions pertaining to faculty networks---

1) What steps has your institution taken to build and also to maintain global partnerships?

---Part C. Questions pertaining to institutional support for global programs---

1) Describe your university's current global partnerships?

2) How is university support for global partnerships articulated in the mission? Are their institutional structures (such as centers/institutions/offices) to support these goals? What about staffing levels?

---Part D. Questions pertaining to academic programs---

1) Please describe *w*hat forms of support (e.g., sabbaticals, teaching obligation waivers) are available for individual <u>faculty</u> who pursue global partnerships and opportunities?

2) Please describe what forms of support (e.g., tuition subsidies, course waivers) are available for individual <u>students</u> who pursue global partnerships and opportunities?

--Part E. Institutional Level, Fundraising and Partnerships—

1) Describe the formal supports or policies that exist in your university for faculty and staff members to pursue global partnerships and/or opportunities.

2) Are there any roadblocks institutional constraints you can identify within your university that might hinder support to global partnerships?

3) Describe the structures USAID should put in place to encourage AND support your university pursue and implement USAID programs/opportunities.

4) Is your university a member of the White House Initiative on HBCUs? A member of the USAID/MSI network?

Interview Questions
Faculty and Staff

---Part A. Questions pertaining to individual faculty resources---

Describe your level of familiarity with USAID's programming and funding opportunities?

Describe your current research?

If you have applied for a USAID grant in the past, please describe the program and your application experience?

If you have never applied to a USAID grant/opportunity, please explain why?

If you have participated in a USAID/MSI workshop, please describe which aspect of the workshop you found most helpful.

If you attended an MSI/HBCU workshop, please describe any topics you would like to see added to the curriculum?

---Part B. Questions pertaining to faculty networks---

Describe your experience partnering with faculty and staff *within and outside* your institution on USAID partnerships/grants related to your research area.

---Part C. Questions pertaining to institutional support for global programs---

Please detail the ways in which your institution's governance structure supports globally focused partnerships.

Please give your opinion on your university's support staff (including quantity of staff and other relevant factors) who help support faculty and leadership grant development (e.g., proposal/budget development)? Can you explain the role of these staff?

---Part D. Questions pertaining to academic programs---

Explain your thoughts on whether students are *encouraged to* or *discouraged from* pursuing international learning, volunteer, and research opportunities outside the United States.

--Part E. Institutional Level, Fundraising and Partnerships--

What resources does your institution currently need to partner with USAID on contract or grant opportunities?
Please explain what assistance USAID could provide to assist you in partnering with the agency?

Appendix 4. USAID-HBCU Research Framework Faculty Focus

Table 13. USAID-HBCU Research Framework Faculty Focus

		Levels of Influence			
		Individual Barriers	**Interpersonal Barriers**	**Institutional Barrier**	**Community Barriers**
Domains of Influence	**Internal University Human Capital**	Build faculty awareness of USAID initiatives and program areas	Build USAID's (leadership, bureaus, missions offices) awareness of HBCU faculty areas of expertise (Maybe a database of HBCU faculty and area of expertise: example RTAC Network)	HBCU institutions encourage (through leadership goals and restructuring) faculty to pursue USAID projects via flexible workloads and administrative support	HBCUs increase their support of faculty grant applicant needs (USAID cannot fund this but perhaps non-USAID partners can. UNCF Thurgood Fund, etc.)
	Internal University Networks	Build mechanisms for HBCU faculty to network with one another (expanding HBCU cross faculty networks multiplies research capacity and expertise)	Decrease the disciplinary silos that limit faculty networks across academic fields	Build structures within USAID (including **and** outside of RTAC) to facilitate HBCU-CROSS faculty networks. Enhanced HBCU support and facilitation of these networks	Facilitate "network brokerage" using partners external to HBCUs. These "brokers" would facilitate the knowledge exchanged across HBCUs and expand HBCU networks.
	University Policy and Governance Structures	Ensure consistent USAID MSI leadership access to HBCU leadership. Ensure consistent HBCU leadership access to USAID MSI leadership	Consider building an online policy/best practices platform through which HBCU and MSI leaders can obtain information and knowledge about how to enhance global partnerships and support USAID grants (Maybe networking and collaborating opportunities through an annual conference or joint workshops?)	Build mechanism to contain institutional knowledge of past USAID and HBCU efforts, initiatives and policies as a means to mitigate negative effects of leadership turnover. Enhance institutional engagement by strengthening international centers within HBCUs.	Think of ways to increase HBCU funding (federal funding, foundations, etc.) so HBCUs can support global partnership policies and governance structures

	University Community (external)	Build HBCU and USAID <u>individual</u> awareness of potential community partners such as UNCF, Thurgood Marshall Fund, HBCU alumni, etc.	Build informal awareness within HBCU and USAID <u>networks</u> of non-HBCU and non-USAID partners such as UNCF, Thurgood Marshall Fund, HBCU alumni, etc.	Build upon the formal networks across institutions that already exist – UNCF, Thurgood. Construct a formal network that links other external community organizations (such as formal HBCU alumni groups) with global partnership	Draw upon the "White House Initiative on HBCUs" to mobilize the political environment toward policies that support HBCU-USAID partnerships
	Environmental Funding Resources and Opportunities	Build linkages for individuals from HBCUs to connect to external partners, funding opportunities and resources	Facilitate connections to help informal networks within HBCUs connect to external partners, funding opportunities, and resources	Building upon HBCU Internationalization report, focus on strengthening formal HBCU partnerships between HBCUs and the five institutional partners engaged throughout the report.	Advocate for enhanced support via the White House initiative. Also consider global and supranational resources and partners such as the United Nations, African Union. Also, consider international corporations (example: "Geeks on a Plane"); nonprofits (example: funding via FHI 360); and international professional organizations (example: DEVEX)
Outcomes		**Increased Faculty Awareness and Access to USAID**	**Increased Faculty Research and Project Engagement with USAID**	**Articulated Institutional Commitment and Policies**	**Collaboration and Partnership Opportunities**

Appendix 5. USAID-HBCU Research Framework Student Focus

Table 14. USAID-HBCU Research Framework Student Focus

		Levels of Influence			
		Individual	**Interpersonal**	**Institutional**	**Community**
Domains of Influence	**Internal University Human Capital**	Build student awareness of USAID and provide academic training programs for students broadly interested in international development work.	Build a network of HBCU students to work in development at all levels.	HBCU Leadership and Faculty promote student engagement in development work by providing academic training/courses, funding, and networks.	HBCUs increase support of student funding, academic and training barriers. (i.e. provide language institutes, research courses, funding for conferences etc.)
	Internal University Networks	Provide resources so students can network and intern with other HBCU students and USAID external partners (Example: FHI 360, Open Society, UN Foundation, etc.)	Schools provide students courses and programs geared toward development and internationalization.	Provide students with internal HBCU and partner network to engage in USAID opportunities	HBCU set up support network (Clubs, Institutes, Center) for student and faculty exchange
	University Policy and Governance Structures	University provides structural and financial support to students interested in development work. (Example: Students being able to attend development conferences to network on the same	Provide hands-on support (faculty advisors) for students interested in research and programming.	Institution provides internationalization at all levels of university. (USAID-specific internships?)	HBCU must provide a formal structure within the school to support internationalization

		level as PWI students)			
	University Community (external)	University promotes student work in development programming by providing engagement opportunities outside of school network.	University provides opportunities through external resources for research and engagement through external partners.	University makes an effort to network to obtain and maintain formal partnership networks. (This provides students with opportunities for funding, research, and internships with external partners.)	Promotion of student and faculty research and school programs, so current and future partners are aware of schools' work in development.
	Environmental Funding Resources and Opportunities	Students receive support and access to external and internal funding opportunities to participate in development training and activities.	Students receive support and access to external and internal funding opportunities to participate in development training and activities.	University utilizes USAID partnership along with external partners to obtain funding and resources to support internationalization and student work.	HBCU provides a network to allow for collaboration between students in various departments and at other HBCUs.
Outcomes		**Increase Student Mobility and Engagement**	**Globalize Student Research and Engagement**	**Articulated Institutional Commitment and Policies**	**Collaboration & Partnership Opportunities**