



BASIS Assets and Market Access
Collaborative Research Support Program
Operations Manual

October 2006–September 2011

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Purpose and Authority of the Policy and Operating Procedures

The purpose of the Policy and Operating Procedures for the BASIS AMA CRSP is to provide a clear understanding of management procedures for the CRSP.

Authority for the Policy and Operating Procedures for the AMA CRSP is contained in Leader with Associates Cooperative Agreement (CA) No. EDH-A-00-06-00003-00 from the United States Agency for International Development to the Management Entity, University of Wisconsin-Madison. The agreement document contains the schedule, program description, standard provisions, special provisions, USAID eligibility rules, and marking plan. The current agreement gives authority for the AMA CRSP from September 30, 2006 to September 29, 2011.

In case of discrepancies between the Policy and Operating Procedures for the AMA CRSP and the Cooperative Agreement, the CA document described above takes precedence.

Program Background, Mission, and Research Themes

AMA CRSP aims to improve the quality of life for the rural poor, by creating more effective ways to access and use resources. In support of USAID's Pillar Bureau of Economic Growth, Agriculture and Trade (EGAT) Office the Assets and Market Access CRSP seeks to:

- Improve livelihoods, increase food security, and reduce environmental degradation by broadening access to and efficiency of land, water, labor and financial markets
- Strengthen partnership through collaborative research, training and capacity building
- Enable or promote policy and program interventions through effective synthesis, training, communication, and research dissemination

In the period from September 30, 2006 through September 29, 2011, the AMA CRSP will focus on the following research topics:

- **Risk, Vulnerability and Asset Protection through Productive Safety Nets**
- **Leveling the Playing Field for Broadly Based Agricultural Growth**
- **Asset Building for Growth and Poverty Reduction in the Long- and Short-Run**
- **Securing and Enhancing Access to Land and Other Assets**

Organizational Structure

Primary management responsibilities for the AMA CRSP are vested in the University of Wisconsin-Madison, termed the "Management Entity." The ME will be housed in the Department of Agricultural and Applied Economics, and is accountable to USAID for the AMA CRSP programmatically and fiscally.

Certain programmatic and fiscal responsibilities are delegated from the ME to participating US and host country institutions through sub-agreements for research projects between US and host country scientists. Each project will be led by a single Contracting Institution, a US Institution with proven administrative and technical capacity to manage large research projects. The Contracting Institution will be the administrative link with all other US and host country collaborating institutions participating in the project.

For each project, collaborative arrangements are governed by Memoranda of Understanding (MOUs), a project proposal, an annual work plan, and a sub-agreement.

The MOU creates the official environment in which US PIs can initiate and carry out collaborative research in a host country. It designates the administrative procedures under the CRSP agreement, recognizes the collaborative research program and its goals, procedures for establishing a research relationship, provides specifications of project responsibilities for all institutions involved, establishes the duration for the project, and includes communication requirements. The MOU commits no funds directly, but provides the general guidelines for the relationship, which will be formalized with a sub-agreement. The MOU must be signed by a representative from the contracting institution, and the University of Wisconsin - Madison.

The Contracting Institution will also enter into an MOU with their collaborating institutions. The MOU must be signed by a representative from the contracting institution and the collaborating institution. The Host country government and the USAID Mission in the host country should be invited to sign the MOU between the contracting institution and the collaborating institution. A template for the AMA CRSP MOU is provided.

The UW sub-agreement obligates funds and passes certain authority from the BASIS Management Entity to the Contracting Institution. The sub-agreement includes the scope of work, the applicable USAID Standard Provisions, CRSP Guidelines, AMA CRSP Operations manual, cost-sharing regulations, and annual budgets as developed. This sub-agreement is binding upon signature of the appropriate officials at the two institutions.

A sub-agreement between a Contracting Institution and a collaborating institution defines the relationship in the CRSP for the project work. Each Contracting Institution must have an agreement with each host country or US collaborating institution. These agreements describe the procedures for both the transfer and accounting of CRSP funds to be spent for the purposes described in the project proposal and subsequent annual work plans and budgets. All institutions are required to conform to the rules and regulations of the CRSP as described in the CRSP Guidelines, AMA CRSP Operations Manual, and the USAID Standard Provisions.

I. AMA CRSP Management Structure

The Management Entity (ME) at the University of Wisconsin will be the primary interface between the contracting institutions, the Board of Directors, and USAID. The ME has a staff of three: a Program Director, an Assistant Director, and an Editor. All administrative inquiries should be addressed to the Assistant Director.

Each contracting institution will be responsible for appointing two members to the Technical Committee, one from their institution and one from their international collaborator.

USAID will make information requests regarding projects through the Management Entity. A representative of the Agency will participate in Board of Directors meetings and Technical Committee meetings.

ME staff will be:

Michael Carter, Program Director
Eliza Waters, Assistant Director
Kurt Brown, Editor

BOD Members for FY07:

Sara Berry, Johns Hopkins University
Carmen Diana Deere, University of Florida
Ravi Kanbur, Cornell University
John Okidi, Economic Policy Research Centre, Uganda

II. AMA CRSP Management Entity

The Management Entity is the institution with the legal responsibility for administering the Cooperative Agreement from USAID and for managing the total research program.

The University of Wisconsin employs a part-time Director for the overall leadership of the CRSP. Other support staff is hired as necessary for the overall implementation of the CRSP. Through acceptance of the CA, the University of Wisconsin agrees to provide other programmatic and fiscal support as necessary for the CRSP.

Technical leadership

- provide technical leadership and guidance to all research and training activities;
- Program Director will play a major role in synthesis activities, ensuring research progress and quality, and providing guidance to researchers as needed;
- facilitate synthesis activities, including reviewing research design to ensure that there are links between and among the projects, monitoring the implementation of the research, and supporting a unified communications strategy for disseminating results to appropriate policy communities;
- assure that the overall performance of the CRSP meets program objectives and monitor results and outputs;

- coordinate events calendar, which includes implementing all committee meetings and facilitating all meetings.

Financial and contracting management

- receive and administer USAID funds for the CRSP;
- develop and enter into MOUs and sub-agreements with Contracting Institutions for their respective projects. Assist the Contracting Institutions in developing MOUs with collaborating institutions and provide endorsement of acceptable MOUs;
- coordinate and lead the development of annual budgets and workplans;
- develop a system for effective fiscal management of the program and control and accounting of funds, including matching resources contributed by participating institutions;
- provide leadership in enhancing financial resources other than the core funding, such as support from USAID missions and other add-ons;
- facilitate equipment purchase approval for projects through the USAID Project Officer and the USAID Procurements Office.

Reporting/Communications

- report on the program and represent the CRSP in communications with USAID and internationally;
- account to USAID for all program accomplishments and expenditures, through reporting requirements;
- establish a system to coordinate travel approval and reporting;
- maintain records on all training, workshops, publications, and add-ons;
- represent the AMA CRSP in CRSP Council activities;
- facilitate and maintain communications between and among all BASIS CRSP institutions.

The BASIS CRSP ME is located at the Department of Agricultural and Applied Economics, 427 Lorch Street, Madison, WI 53706-1513 Contact information: Tel: (608) 262-5538, Fax: (608) 262-4376, basis-me@wisc.edu, <http://www.basis.wisc.edu>

III. BASIS CRSP Board of Directors

The **Board of Directors (Board)** consists of individuals at the top of their fields, selected from university, policy, international development or donor communities. Members will provide objective advice and strategic guidance to the Technical Committee and the Program Director on the best possible implementation of BASIS. The Board will also make decisions on project portfolio based on the recommendations of expert reviewers. While the ME retains authority on final decisions about program assignments, budget allocations, and other authorizations, it will consider the advice and guidance of the Board and other CRSP advisory groups.

Composition of the Board of Directors

The Board of Directors will consist of 3 to 5 members. Board members will serve 3-year terms, phased over the life of the CRSP. Members may be elected to more than one term. The Board shall advise the ME on implementation and candidates for nomination, while also ensuring that the Board retains diversity of disciplinary, regional and thematic expertise. Nomination of new members may come from the Board or ME, with concurrence by USAID. The USAID Cognizant Technical Officer will serve as a member of the Board.

An effort is made to ensure that the members represent the thematic, geographic, and disciplinary diversity of the AMA CRSP. They should not solely represent their respective institutions, but serve in the overall interest of the CRSP. Researchers that are actively participating in AMA CRSP research are not intended to serve on the Board.

Responsibilities

The responsibilities of the BASIS Board will include:

- Participate in project selection based on input from expert external reviewers
- evaluate progress of existing projects and review the general spending pattern of the CRSP
- evaluate new proposals to ensure high quality of work and linkages with overall mission and objectives of the AMA CRSP
- advise on research results and establishing indicators for the program
- advise on the development of RFPs to solicit new research projects as funding becomes available
- assist in annual and other major review procedures of the CRSP, review the findings of such evaluations, and suggest ways to improve or address concerns
- approve the addition or deletion of component projects and program elements, changes in program objectives, institutions, investigators, and work sites
- approve composition of CRSP advisory groups

Meeting Protocol

The Board will meet at least once annually either in person or via teleconference. Portfolio selection meetings will be held in person. The ME, in consultation with the Board, determines the date and location of the meetings. Meeting agenda will be determined by the ME sent to

members along with any support material in advance of the meeting. Virtual meetings may be held in addition to the annual meeting. Board action can take place through email or phone conversations with the same power as an actual meeting. Attendance by more than 50% of the Board constitutes a quorum. A simple majority vote is required for decisions by the BoD. The ME prepares copies of minutes of all meetings for archiving and distribution within 30 days.

Fees and Compensation

Members of the Board of Directors will not receive remuneration for their services on the Board. The ME will reimburse members for travel expenses incurred as a result of Board meetings.

IV. BASIS Contracting Institutions

As part of the AMA CRSP, **Contracting Institutions** will play a significant role in managing the individual research projects funded by the CRSP. The lead U.S. institution for each project is designated as the contracting institution.

Contracting Institutions are responsible for the following activities:

- Implement the research project in coordination with US, host country, and multilateral institutions (as appropriate) and as described in the approved project proposal and work plan
- Receive and administer an AMA CRSP research project, assigned by sub-agreement from ME
- Negotiate and enter into Memoranda of Understanding with all project research partners, in accordance with AMA CRSP guidelines
- Negotiate and enter into sub-agreements with all project research partners, in accordance with AMA CRSP and USAID guidelines
- Account to the BASIS CRSP Management Entity for all program accomplishments and expenditures, by complying with reporting requirements
- Develop a system of effective fiscal management of the project and financial reporting of the project to the ME, providing assistance and guidance to partner institutions as needed
- Ensure that the matching requirement is met by the project and its affiliated institutions
- Ensure compliance with US travel regulations and report to the ME regarding international travel for the project
- Facilitate and maintain regular communications with all project institutions and the Management Entity
- Act as the liaison between the Management Entity and all project staff
- Ensure reporting requirements of sub-agreement are met
- Sign all required USAID certifications

V. Principal Investigators

Principal Investigators (PIs) will have a very important role to play. There will be one PI from the US and one PI from the host country that will have the lead responsibility for the project, will be the point of contact with the Management Entity, and will represent the project in programmatic discussions of technical concern. Not only will they lead the research projects, but the PIs will also be responsible for fulfilling the communication requirements of the CRSP, and along with the Director, for ensuring the synthesis activities are promoted.

First and foremost, Principal Investigators are responsible for implementing the research project as it was proposed to BASIS. The PIs must make sure that the research stays on schedule, data is gathered and analyzed appropriately, and quality reports are written for the main audiences identified. They will run each project autonomously, with guidance and interaction from the Management Entity.

The PIs will also be a main point of contact between the Management Entity and the other project researchers. The PIs will be responsible for communicating CRSP reporting requirements, administrative procedures, and program objectives with the research teams so that everyone has the same expectations for the work to be accomplished. This liaison role will be very important in fulfilling the decentralized role of the Management Entity.

As ensuring that policy relevant research is conducted by the AMA CRSP, the PIs will also be responsible for meeting the communications requirements of the CRSP. PIs must establish and maintain a dialogue with policy makers in the country or region of the research activity. PIs must determine what the best method of communication will be in the context of the research activity and the political climate in the country. As they are the individuals who will have the opportunity to spend time in the country of focus, they must take advantage of this opportunity to reach out to groups in the country who are interested in the research and influential in policy realms.

PIs will also be responsible for participating in their professional organizations in terms of publishing research activities and results in peer-reviewed journals, presenting at national and international professional conferences, and applying rigorous quality standards to their work. BASIS must be duly recognized for its contributions in all outputs with copies sent to the Management Entity.

Finally, PIs will be expected to participate in the AMA CRSP Technical Committee. The **Technical Committee** (TC) will comprise one US and one host country PI from each of the projects. The TC will meet annually. Both the U.S. and host country P.I.s are expected to attend the meetings. The objectives of the TC meeting will be to present results from current research activities, to discuss research progress and synthesis ideas, and to plan research activities for the next year, including policy implications. The Technical Committee meeting is an opportunity for the researchers to discuss the substance of their projects and potential synergies that emerge from the linkages among the projects.

One component of the TC is the review of the annual work plans. Each project must submit a work plan that summarizes the specific activities planned for the coming year. PIs from each

project will review the work plans to help assure research progress and standards for quality are achieved, to learn about the other AMA CRSP projects, and investigate possible areas of synthesis that can be proactively implemented. To avoid unnecessary workload, each workplan will only be reviewed by a subset of the TC.

BASIS CRSP Technical Committee
WORK PLAN REVIEW SHEET

Work plan:	Comments/Suggestions
Technical plan	
1. Clear statement of contribution program global constraints	
2. Technical quality: is the overall technical quality of the proposed research work plan of high scientific standard?	
3. Research progression: does the research build upon past research achievements and avoid excessive duplication?	
4. Contribution to AMA CRSP themes and USAID objectives	
5. Appropriateness of research methodology: is the identified methodology the best research approach to achieve the target results in consideration of resource constraints?	
Results	
6. Anticipated results: are the anticipated results described sufficiently to assess impacts and/or achievements	
7. Appropriate results: are the results appropriate and realistic considering the methodology, time frame, and budget?	
8. Dissemination of results: is the plan for disseminating findings to the policy community and for encouraging incorporation of research findings into policy formulation realistic?	
Capacity building and synthesis opportunities	
9. Strategies to develop institutional capacities and capabilities of collaborating researchers	
10. Opportunities for synthesis with other research findings of for cross-regional comparisons	
Feasibility	
11. Feasibility of schedule: is it realistic to complete activities in one year, so that outputs can be prepared?	
12. Feasibility of budget: is it feasible to implement the proposed project with associated budget and is the budget request appropriate?	

Recommended Action, please select one:

1. Approve as is	
2. Approve with recommended modifications, see notes, above	
3. Withhold approval until the project's PI's revise and resubmit in response to your detailed recommendations.	

Policy for Enacting Major Changes in Organizations or Projects

During the course of the CRSP program and the period of the Cooperative Agreement, priorities may cause substantial changes in the research program. The change may reflect itself in the addition, deletion, or moving to another country. The Board, the ME, and USAID are the bodies with primary responsibility for advising and deciding major organizational changes. The AMA CRSP will utilize its normal planning and review process, including inputs from the TC, Board, ME, and USAID via the Project Officer, and in accord with the CRSP Guidelines (including approved revisions), when adding, deleting, moving, or substituting a project or institution.

Procedure for enacting organizational changes:

1. The TC, Board, ME or USAID may initiate process for requesting a substantial organizational change (add-on activity, new scope of work, request from USAID, closing down of research activity...).
2. The proposed change, with written justification and supporting documentation, is presented to the TC for consideration and recommendation. TC makes its recommendation to the ME.
3. Any recommendations for major organizational changes will be forwarded to the Program Director for action; and to USAID, for comment.
4. With advice from the TC, Board, and USAID, the Program Director makes final decision for implementation.

Adding or Deleting a Regional Program/Project

The recommendation for changing a research project may be initiated from the institutions involved, the TC, Board, USAID or the ME.

Reasons for action to add a regional program/project include:

- increased USAID or other donor funding warranting addition of program components to a new/existing site;
- Fills a gap in current program in constraint area, synthesis activity, or training opportunity.

Reasons for action to delete a regional program/project include:

- Completion of project objectives
- Changes in country, regional, or global research priorities
- Performance on the project is below an acceptable standard
- Insufficient USAID support for the CRSP, which require the elimination of program components to remain viable.
- The institution leading the project no longer has the resources to maintain its participation

In the event that a project is closed, the PIs representing the project on the TC, will lose his or her seat and voting privileges. Any funding reserved for that regional program or project would be reallocated with recommendations from the TC and/or Board.

Changing a Principal Investigator

Reasons for adding or terminating a PI include:

- Principal Investigator resigns position
- Completion of project objectives
- Performance on the project is below an acceptable standard
- The institution leading the project no longer has the resources to support the PI's participation

When an AMA CRSP Principal Investigator (PI) position is vacated, the AMA CRSP ME and the co-PI are to be notified immediately. The PI, in consultation with his or her institution, will immediately appoint an Acting PI to continue the project on an interim basis in accordance with its description in the Work Plan.

Within six (6) months of the termination of the PI, the co-PI and the institution will nominate a permanent replacement.

MEMORANDUM OF UNDERSTANDING

between

Assets and Market Access (AMA)
Collaborative Research Support Program (CRSP)
Management Entity, University of Wisconsin-Madison

and the

XXXinstituteXXX
XXXUniversityXXX (if applicable)

I. Introduction

This Memorandum of Understanding (MOU) is to establish a long-term collaborative research support program on factor market research between the Assets and Market Access (AMA) Collaborative Research Support Program (CRSP) Management Entity, University of Wisconsin-Madison, hereafter referred to as the “ME,” and the XXXinstitute/universityXXX, hereafter referred to as the “contracting institution.”

The AMA CRSP Principal Investigator (PI) is the US researcher responsible for facilitating and coordinating a project in the host country or region, and serving in that capacity on the AMA CRSP Technical Committee (TC). The PI, XXXnameXXX, is currently affiliated with the XXXContractingInstituteXXX, which supports the research program in the host country, through an independent contract with the ME. The contracting institution will collaborate with any number of US and host country institutions in order to accomplish the research activity. These other institutions are referred to as “collaborating institutions.”

II. BASIS Collaborative Research Support Program

A. Mission and Authorization

AMA is a Collaborative Research Support Program (CRSP) with the mission of strengthening US and host-country research capacity through jointly developed and collaborative programs of research and training on land, water, labor, and financial markets and their interaction. Its mission is further to help governments, donor agencies, the private sector, and non-governmental organizations design, evaluate, and propose policies that enable factor markets to mediate broadly based, integrated, and environmentally sustainable economic growth.

The AMA CRSP operates by approval of the US Government under the provision of cooperative agreement EDH-A-00-06-0003-00 with the ME. The ME operates with guidance of the Technical Committee (TC), which advises on research foci and application, and the Board of Directors (Board), which provides operational and strategic guidance.

The AMA CRSP is an integrated and coordinated global program of individual research and training projects focused on market constraints to sustainable economic growth. These projects are to be carried out by scientists from host country and US institutions working together in full and close collaboration.

B. The Goal

The *goal* of the AMA CRSP is to improve the quality of life for the rural poor in the developing world through research that leads to innovative and informed policy that will facilitate broadly based and sustainable economic growth. The *vision* of AMA CRSP is that

broadly based and sustainable growth of the rural economy requires affirmative efforts to rectify market imperfections and make markets work for all. Missing and imperfect rural factor markets underlie food insecurity, rural poverty, and unsustainable growth. These missing or imperfect markets constrain the ability of rural households to access, accumulate, and effectively utilize the resources needed for their livelihood.

C. Procedure for Establishment of the Collaborative Research Relationship

With mutual understanding of the AMA CRSP program and its goal as described above, a collaborative research relationship is developed as follows:

1. Based on discussions and consultations on factor market constraints and research needs to address these constraints, projects will be prepared, reviewed, and selected through established procedures, including evaluation by the TC. The XXXproposal titleXXX proposal, prepared by one or more US researchers in collaboration with host country researchers, and reviewed and approved by the TC, detailed research objectives and a long-term implementation plan. Following the approval of the proposal by the TC, a formal collaborative research agreement will be reached.
2. The formal collaborative research agreement will include: a) Memoranda of Understanding between the ME and the contracting institution, and between the Contracting Institution and the collaborating institution(s); b) a final, long-term research proposal to implement the research and training program between the collaborating institutions detailing research to be done; and c) sub-agreement(s) between the collaborating institution(s) and the US contracting institution and between the US contracting institution and the ME.
3. The sub-agreement between the U.S contracting institution and the collaborating institution must include the designation of specific US and host country participants, delimitation of functions, responsibilities, and deliverables, source and level of funding support, duration, and an agreed-upon accounting arrangement. When approved by all appropriate parties, with copies provided to the ME, the final research proposal shall be the plan under which the work is to be performed.
4. Any number of new projects following these same procedures may be developed jointly with researchers from the US and the collaborating institutions as appropriate under this MOU and as agreed to by all parties. The new project may be incorporated into the sub-agreement by amendment.
5. After receipt and acceptance of the formal collaborative research agreement by the BASIS ME, funds can be released to implement the research either to the US contracting institution and/or to the collaborating institution as stipulated under the sub-agreement.

III. Administration of Collaborative Research Projects

A. Financial and Project Management

BASIS is funded by the US Agency for International Development (USAID) with matching contributions provided by participating institutions. The AMA CRSP is administered by the Management Entity (ME) which is responsible to USAID for fiscal matters and research progress. The US contracting institution in turn is responsible to the Management Entity for fiscal matters and research progress under their project(s). The collaborating institution in turn is responsible to the participating US contracting institution for project expenditures and research progress.

1. The PI and the US contracting institution will be the initial points of contact for specific projects with the collaborating institution.
2. All project expenditures will be monitored by the US contracting institution, which will be held accountable by the AMA CRSP Management Entity for total project funds.
3. Funds will be provided to the contracting institution for research expenditures as stipulated in the project proposal/budget and sub-agreement.
4. Funds to be expended directly on behalf of, but not specifically in the host country, such as for individuals studying in the US, or for purchase of research materials to be sent to the host country, may most efficiently and cost-effectively be expended by the US contracting institution or the ME with concurrence of the collaborating institution.
5. Funds to be expended in the host country can be disbursed through the collaborating institution, an international bank, or another fiscally auditable entity agreeable to the ME, the US contracting institution, and the collaborating institution.
6. The contracting/collaborating institution will be administratively responsible for all funds provided to it for expenditure under AMA CRSP and will provide to the US contracting institution/ ME documentation of expenditures as outlined in the sub-agreement for fiscal audit as requested by the US institution. An external audit may be required by USAID.

B. Host Country Contributions

1. The collaborating institution in a host country shall provide office space as available and as needed for US scientists.
2. The collaborating institution shall share the direct costs associated with this work in the host country by assuming such costs as electricity, water, secretarial staff, and cleaning and maintenance of facilities.
3. The collaborating institution will be responsible for submitting research progress reports to the US contracting institution and the AMA CRSP Management Entity as specified in the sub-agreement.
4. The collaborating institution shall adopt all measures within its legal capabilities to obtain from the host country authorities exemption from duties, taxes, and other charges upon the importation to the host country of materials solely for use in BASIS projects. If such exemptions are not permitted, then such requirement will be waived and non-CRSP funds will be used to cover all duties, tariff, or customs levies and other obligations applicable to the host country.

C. Duration

The AMA CRSP five-year agreement is expected to continue through September 2011, with the potential for renewal or extension. This agreement will commence on the date of completion of its signing.

1. If any party to this agreement decides to terminate, it must provide at least three (3) months advance notice to the other parties.
2. This Memorandum of Understanding shall continue until terminated by:
 - Termination of the AMA CRSP Agreement by USAID;
 - Termination of the AMA CRSP funding by USAID; or
 - Acceptance of a request to terminate by the collaborating institution to the US contracting institution and/or the AMA CRSP Management Entity;
3. Either the US contracting institution or the collaborating institution may request the Management Entity to consider adjustments in their collaborative arrangements.

IV. Adjustment of this Memorandum of Understanding with other AMA CRSP/US Research Institutions

Contracting/collaborating institutions may enter into research agreements with other BASIS institutions upon joint concurrence of the ME and the contracting/collaborating institution. Additional research agreements between the contracting/collaborating institution and other institutions will require a separate Memorandum of Understanding. Any additional AMA CRSP projects between the ME and the contracting institution may be incorporated under this MOU as stipulated in Sections I, II, and III, following an amendment to the sub-agreement and agreed to by all parties.

V. Contacts

A. *XXXCountryXXX*

XXXInstituteXXX
XXXMailingXXX
Telephone:
Fax:
Email:

B. *US*

Assets and Market Access Collaborative Research Support Program
University of Wisconsin-Madison
Department of Agriculture and Applied Economics
427 Lorch Street, Taylor Hall
Madison, Wisconsin 53706-1513
Telephone: 608-262-5538
Fax: 608-262-4376
Email: basis-me@facstaff.wisc.edu

VI. Approvals

Having read this Memorandum of Understanding, the persons below have signed their names and shown their agency affiliation indicating their concurrence with the collaborative research relationships outlined above.

For the BASIS CRSP:

University of Wisconsin-Madison

Date: _____

For Contracting/Collaborating institution:

XXXName,titleXXX
XXXInstituteXXX

Date: _____

[For Host Country Representative:]

XXXName, titleXXX

Date: _____

[For USAID Mission:]

USAID Mission Representative-XXXcountryXXX

Date: _____

AMA CRSP Reporting Requirements

There are 4 main reporting requirements of researchers within the AMA CRSP. These reporting requirements are summarized here, with guidelines of each report attached. In addition to these specific reports, the researchers are also expected to notify the ME if there are any issues that arise in their research that influence the project schedule or budget, to submit all outputs to the ME according to the Policy on Outputs, and to notify the ME of potential add-ons or other events that impact the research or budget.

PLEASE NOTE: The Management Entity takes these reporting requirements very seriously as they are designed to assist with the CRSP reporting requirements of USAID. The Management Entity will allow a 5-day grace period beyond the due date for each project report required. After the grace period, the ME reserves the right to reduce the project budget by \$1000 for each day the project report is late. Please plan your schedules accordingly and communicate these requirements with your collaborating partners.

I. Annual Work Plans and budgets

The work plan describes the project activities for the following project year. The CRSP planning and fiscal year is October 1 through September 30. The work plan lists major objectives to be accomplished, workshop and training activities, and any outputs expected. Work plans and accompanying annual budgets are submitted for review by the TC and approval by the Program Director. The budgets should include any funding expected from non-CRSP sources including add-ons, joint or leveraged funding from other grants, government or private industry support. Guidelines and deadlines are provided.

II. Annual Activity Reports

The annual activity report describes accomplishments of each project over the past year. The reports include a list of collaborators, objectives, research approach, project training and output, networking activities, and a list of publications and presentations. An impact statement is also required to emphasize accomplishments to USAID and to facilitate the preparation of other reports throughout the year. The Management Entity is responsible for compiling an Annual Report for the CRSP based on the material submitted by each project. Annual reports should also include specific, itemized achievements for all benchmarks that are agreed upon at the start of each project. Guidelines and deadlines are provided.

a. Student Training Report

Each CRSP is designed to assist in building capacity and provide training to young researchers. The AMA CRSP is committed to making training of both US and host country students a high priority activity that contributes to the overall mission of the CRSP. It is the aim of the AMA CRSP to promote education, training, and information exchange through collaborative research

and development activities. In order to report on this important activity of the CRSP, a student training report is required each year. Guidelines and deadlines are provided.

b. Workshop Report

Each year, researchers within the CRSP host or attend workshops, conferences, and seminars where they discuss AMA CRSP activities. These workshops can be dissemination activities, research training activities, or collaboration activities. The CRSP would like to gather information on these activities to be able to report to USAID. Guideline and deadlines are provided.

III. Trip Reports

In order to keep our partners better informed of BASIS activities, contacts, and progress, the ME asks that all international travelers submit trip reports. Within 14 days following the completion of each international trip, the traveler should submit a trip report to the ME summarizing the accomplishments of the trip. If several individuals are traveling together to one site, a single report representing the group will suffice. The report should include the purpose of the trip, a summary of activities and the itinerary, technical observations, suggestions and recommendations for follow-up (if appropriate), and a list of contact persons with their title and organizational affiliation. These reports will be forwarded to the USAID Project Officer, and used for information sharing purposes. Trip reports help the Management Entity respond to USAID requests for information regarding the CRSP by providing more current or up to date activities.

PLEASE NOTE: All travelers must notify the ME of their itineraries as travel plans are made to ensure that proper notifications to the USAID Missions have been made.

IV. Financial Reporting

The BASIS CRSP Management Entity must manage and report to USAID on all CRSP finances. Additionally, the ME must keep activities and projects moving smoothly by ensuring adequate and timely financial support. To achieve these objectives the ME must review all project and institutional accounts to ensure that expenses are in line with proposed budgets. Payments will be made when proper invoicing has been submitted.

a. Invoicing

In order for the ME to report to USAID accurately regarding expenditures and matching, invoices submitted by Contracting Institutions must be broken down by each COLLABORATING INSTITUTION and by BUDGET CATEGORY. It is important to document expenditures in the host country and expenditures in the US. An income and expenditure template is provided.

In order to maximize the flow of funds to support AMA CRSP research, the ME is implementing the following policy:

- Each Contracting institution receiving funds from BASIS is required to submit invoices no more than monthly, no less than quarterly to the ME for approval and payment.
- All invoices from the fiscal year ending 30 September, must be submitted by 30 November.
- Researchers must submit written requests to maintain balances beyond 30 September through a no-cost extension or a program modification.
- Approval of these requests is contingent upon the submission and acceptance of a justification for carryover, a revised plan of activities and/or schedule, and an accounting of the balance with a revised budget if appropriate.
- Any project funds left unspent or uncommitted will be reallocated.

b. Matching (see also matching explanation in Budget section, p. 44 for further details)

In order to be approved for payment/advance, each invoice must include:

An itemized breakdown of actual matching (in \$), including person-months, benefits, overhead, etc. These amounts do not need to correspond exactly to the lines provided in the annual budget. It is expected that all invoices from US institutions will include this information for at least 25% of the invoiced amount. If matching will occur on future invoices, this should be indicated. Final invoices will not be approved unless the cumulative match requirement has been met.

Matching should be broken down by US institutional (home institution of the researchers involved in AMA CRSP); other institutional (partner institution or host country institution that is contributing matching resources); leveraged funding (funding received to support a component of the research activity from another, non-federal donors such as World Bank or Ford Foundation); private sector support (resources received from companies that support research in international development such as ADM or Cargill).

Name of Institution
Income and Expenditure Statement

Date:
 University of Wisconsin
BASIS CRSP
 Subagreement #:
 Name of PI:
 Title of Project:

Invoice Number:
 Project Period From:
 To:
 Invoice Period From:
 To:

<i>Category</i>		<i>Current Income US\$</i>
Income		
Balance		\$ -
Advance		\$ -
TOTAL INCOME		\$ -

<i>Category</i>	<i>Budget</i>	<i>Current Expenses US\$</i>	<i>Cumulative Expenses (US\$)</i>	<i>Current Matching (US\$)</i>	<i>Cumulative Matching (US\$)</i>
Expenditure					
<i>Personnel</i>					
Salaries					
Fringes					
<i>Travel</i>					
Domestic travel					
Domestic per diem					
Int'l air fare					
Int'l per diem					
Visas, insurance					
<i>ODC</i>					
Communications					
Supplies					
Materials					
Bank fees					
Workshops					
Other					
TOTAL Direct Costs	\$ -	\$ -	\$ -	\$ -	\$ -
<i>Indirect Costs</i>					
TOTAL	\$ -	\$ -	\$ -	\$ -	\$ -

BALANCE REMAINING			\$ -
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Annual Work Plan Guidelines

REPORTING PERIOD: October 1- September 30

DUE DATE: 1 September, via email to basis-me@facstaff.wisc.edu. Attach documents in MS Word or WordPerfect, in plain text. Please do not format.

The purpose of the BASIS Annual Work Plan is to:

- Inform USAID about proposed activities for the coming year.
- Ensure that project activities stay on schedule
- Provide a tool for the TC to evaluate the progress of the research project
- Assist TC and ME in planning synthesis activities

I. RESEARCH PROJECT TITLE - State the project title

II. COLLABORATING INSTITUTIONS AND RESEARCHERS - List collaborating institutions, researchers' first and last names and job titles. When there is more than one researcher at an institution, list the institution name, followed by the individuals in alphabetical order by last name.

III. DATES COVERED BY WORK PLAN - October 1, XXXX through September 30, XXXX

IV. COMPLETION DATE - If applicable, date when project will be completed.

V. SUPPORT - Indicate the source(s) of support for your work. For example,
Support: Core funding and add-on (USAID/REDSO)

VI. PROGRAM OVERVIEW - In one page or less, set the stage and answer the question, "Why is this project important?" Describe the host country situation and how the project contributes to the AMA CRSP mission of research to support equitable access to the world's resources. Briefly describe what has already been accomplished by the project.

VII. ANNUAL WORK PLAN

A. State how the activities fit in with your long-term research plan

B. For each anticipated activity:

1. Describe the activity in detail
2. Include beginning and ending dates
3. Describe how the activity relates with other activities

- C. If activities build on existing projects:
 - 1. Describe the projects
 - 2. Identify donor(s) or collaborator(s)
 - 3. Describe how the project relates with other activities

- D. State how this research relates to key findings and what indicators will be measured

- E. Anticipated outputs: Indicate planned publications, reports, seminars, proposals, and other information dissemination activities.

- F. Problems and Issues: Identify and describe any issues that arose in the past year (research, administrative, financial, etc.) and describe how the issue was resolved or how you intend to resolve it.

VIII. BUDGET - Please provide detailed budget and indicate any anticipated add-ons. BASIS Annual Budget Guidelines are provided.

Budget Guidelines

Each BASIS project must submit an annual budget for research activities outlined in the annual work plan. The following template acts as a guide to assist with the budgeting process.

Each institution receiving money from the BASIS CRSP must complete and submit a “Project budget-detail.” These detailed budgets should then be summarized into one project budget with the details attached upon submission, “project budget-summary.”

US and HC budgets: As BASIS is a CRSP, the goal for budgets is to ensure that between 40 and 60% of the total project budget is allocated to the Host Country institutions, or is budgeted to support host country expenditures (i.e. training).

Budget flexibility: The PI of the project will have 15% gross line item flexibility to move budget dollars from one major category to another (i.e. between Personnel and Travel). The PI has 100% flexibility to move budget dollars within one category. If there is a need to make changes that fall beyond these limitations, a new budget must be submitted to the Management Entity for review and approval.

The budget categories reflect the categories in the BASIS Cooperative Agreement:

- Personnel (including breakdown of salary and fringe benefits)
- Travel
- Training/Workshops
- Other Direct Costs
- Indirect Cost Recovery
- Equipment

These budget categories should then be broken down by cost per unit and the number of units expected for each year, for each institution.

Personnel: Please list each individual separately with salary broken down by month. A **bio-data sheet** must be submitted for each individual listed. Fringe benefit rates for individuals should be noted, either on a separate line or through some other notation. The fringe benefit rate should be documented from the institution.

Travel: Please list the average of the international and domestic round trip airfares expected during the year. If travel to more than one international destination is expected, please list separately. The per diem amount must reflect the most recent US foreign per diem allowances. Budget for visas and insurance can also be listed under the travel section. Most universities provide insurance that covers international travelers. Please be sure that you need it before budgeting for this item.

Training: Please list here all expenses associated with short and long term training. This includes workshop expenses: meeting room, catering, honoraria, etc. It also includes support for

degree candidates supported by the CRSP. This should only include information that is not included in the Personnel line items, such as tuition payments, etc.

Other Direct Costs: Summarize all costs that support the research activity. This could include postage, photocopying, supplies, computer supplies, etc. Equipment that costs over \$5000 should be listed separately, with attention being made to the equipment purchase requirements of this policy manual.

Indirect Cost Recovery (ICR): Each institution must document its ICR through a NICRA or audit report. It must be clear what direct costs receive ICR and how this amount is calculated. Documentation should be annexed to the budget.

Equipment: Equipment is defined as an article of nonexpendable tangible personal property, having a useful life of more than two years and an acquisition cost of **\$5000 or more** per unit. Any equipment budget item must be accompanied by “equipment authorization and request to purchase” form, included in the BASIS CRSP Operations Manual.

Matching: AMA, as all CRSPs, is required to match expenses with non-federal dollars as indicated in our application budget. BASIS will therefore require that each project budget indicate how this matching requirement will be met. Budgets will not be approved without indicative figures for matching. The matching requirement for US institutions participating in a CRSP is based on the concept that pursuit of CRSP goals will mutually benefit USAID’s interest in providing development assistance for developing countries and the interest of US universities in improving US agriculture. Matching shows institutional commitment to the program.

What counts as a match? Anything that is:

- a continuing component of the CRSP program at the institution which is international in dimension and appropriate to the specific CRSP goals (i.e. PI salary that is not directly covered by the CRSP budget);
- an additive to an appropriate existing program at the institution which is international in dimension and appropriate to the CRSP goals; and (i.e. related project funded by non-Federal sources, where expenses can be shared)

Specifically, this means that the following can be considered a match:

- All contributions, including cash and third party in-kind.¹ Primarily, this means salaries of senior staff working on the project. Other examples might include airfares or other travel

¹ Matching contributions must meet all of the following criteria:

- Are verifiable from the recipient’s records.
- Are not included as contributions for any other federally-assisted project or program.
- Are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- Are allowable under the applicable cost principles.
- Are not paid by the Federal Government under another award.
- Are provided for in the approved budget.

costs which are picked up by other organizations, printing costs for project-related documents, and so on

- Unrecovered indirect costs
- Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor if the service is an integral and necessary part of an approved project or program.²

What documentation must be provided? Normal accounting procedures must be followed for cash matching contributions. The following requirements pertain to the supporting records for in-kind contributions from third parties.

- Volunteer services shall be documented and supported by the same methods used by the recipient for its own employees.
- Values for recipient contributions of services and property shall be established in accordance with the applicable cost principles, with qualifications in the case of property.
- The basis for determining the valuation for personal services, material, equipment, buildings, and land shall be documented.
- When an employer other than the recipient furnishes the services of an employee, these services shall be valued at the employee's regular rate of pay (plus an amount of fringe benefits that are reasonable, allowable, and allocable, but exclusive of overhead costs), provided these services are in the same skill for which the employee is normally paid.

Who is responsible for ensuring the match? A system for effective management of the program and control and accounting of funds, including matching resources contributed by participating institutions, must be developed between the ME and participating institutions. The ME is responsible to USAID for ensuring that the match is met. It is not necessary that the Federal cost of every institution or of every single activity or project within an institution be matched, as long as the aggregate of all the federal costs of projects and activities within the overall CRSP meet the requirement.

To assist the ME in reporting matching contributions all annual budgets submitted must include estimates of how matching requirements will be met. This should follow the standard budgeting break down (person-months, benefits, overhead, etc.). *Modifications to sub-agreements will not be approved without these estimates.*

NOTE: invoices will not be approved without documented matching. Non-federal matching can take the form of salary support from a state or private institution, a waiver of ICR (or a portion of it), or cost-sharing on the project from a third party (World Bank, Ford Foundation, SIDA, GTZ etc.). There are many creative ways to fulfill this requirement. Matching resources do not

² Rates for volunteer services shall be consistent with those paid for similar work in the recipient's organization. In those instances in which the required skills are not found in the recipient organization, rates shall be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.

transfer hands, but support activities directly. Host country partners can provide matching contributions that assist the project to fulfill the matching, but are not required to do so.

Matching should be broken down by US institutional (home institution of the researchers involved in the CRSP); other institutional (partner institution or host country institution that is contributing matching resources); leveraged funding (funding received to support a component of the research activity from another, non-federal donors such as World Bank or Ford Foundation); private sector support (resources received from companies that support research in international development such as ADM or Cargill).

USAID encourages us to also monitor federal matching resources that are contributed to the CRSP. Though this is not required, it does demonstrate success of the CRSP in meeting the needs of multiple organizations. Cost-sharing may be used to support project activities from USDA, NSF, or other USAID projects.

Matching should be broken down by budget item, cost/unit, and count. The budget does not need to reflect perfectly the actual contributions, but should indicate how the matching requirement is expected to be met.

BASIS CRSP BUDGET TEMPLATE							
October 1, 200x- September 30, 200x							
PROJECT BUDGET--DETAIL							
Project Title:				Region(s)/Country(ies):			
Principal Investigator:				Institution:			
THIS MUST BE FILLED OUT FOR EACH INSTITUTION PARTICIPATING IN THE PROJECT							
Budget Category	UNIT	COST	COUNT	YEAR 1	YEAR 2	YEAR 3	TOTAL
PERSONNEL							
Researchers							
Enumerators							
Graduate Students							
Administrators							
Benefits							
Overseas living allowances							
<i>subtotal</i>							
TRAVEL							
International Airfares							
International per diems							
Domestic airfares							
Domestic per diems							
<i>subtotal</i>							
TRAINING							
Non-Degree							
interpretation/translation							
meeting expenses							
Degree Program							
<i>subtotal</i>							
OTHER DIRECT COSTS							
postage							
communications							
duplication							
supplies							
computer/supplies							
<i>subtotal</i>							
SUBTOTAL DIRECT COSTS							
INDIRECT COST RECOVERY							
EQUIPMENT (\$5000+)							
TOTAL							

MATCHING CONTRIBUTIONS-NON FEDERAL								
US Institutional Support								
Other institutional support								
Leveraged funding								
Private sector support								
TOTAL								
OTHER FEDERAL CONTRIBUTIONS								
TOTAL CONTRIBUTIONS								



Annual Activity Reporting Guidelines

Reporting period: 1 October - 30 September

Reports due to BASIS ME: 30 October via e-mail to basis-me@facstaff.wisc.edu
Attach document in MSWord or WordPerfect, in plain text.
Please do not format into columns.

The purpose of the BASIS Annual Activity report is to:

- Inform USAID about how BASIS is contributing to USAID and BASIS objectives
- Measure our progress, compared with last year's Work Plan
- Represent all of BASIS to those who want to know more about our work
- Discuss what we are finding or learning about factor markets and their interactions

Note that annual report must include key findings and results and publishable photos or illustrations.

Your annual activity report is a vital part of the BASIS annual report and should describe technical, scientific, managerial, and fiscal information for your specific project(s). The report will compare and contrast the year's planned activities and those actually accomplished. Please use the outline below to compile your report.

- I. RESEARCH PROJECT - State the project title
- II. COLLABORATING INSTITUTIONS AND RESEARCHERS - List collaborating institutions, and researchers' first and last names and job titles. When there is more than one researcher at an institution, list the institution followed by the individuals in alphabetical order by last name.
- III. PROJECT DATES - specify project-inclusive beginning and end dates. For example: November 1996 - September 2001
- IV. SUPPORT - Indicate the sources(s) of support for your work. For example: Support: Core funding and add-on (USAID/REDSO)

V. PROGRAM OVERVIEW - In one page or less, set the stage and explain why your project is important. Describe the host country situation and how the project contributes to the BASIS mission of research to support equitable access to the world's resources.

This information is vital to communicating the value of our work.

- A. Summary of Activities. Brief overview summarizing discussion (See section VI below).
- B. Status of Activities (how this year's activities fit into your overall research)

VI. DISCUSSION OF ANNUAL ACTIVITIES (compared to Work Plan)

- A. Specific activities undertaken and related accomplishments.
- B. For each research activity indicate research team members (last name is sufficient; be sure all individuals are included in the list of collaborating institutions and researchers above)
- C. Additional activities not anticipated in Work Plan
- D. Review of problems or issues that arose in the past year
 1. Identify and describe the issue (research, administrative, financial, regulatory...)
 2. Describe how the issue was resolved (or how you intend to resolve it)

VII. COLLABORATION WITH OTHER PROJECTS. Please indicate any networking, sharing of data or resources with projects funded by other entities.

VIII. OUTPUTS - Please list all outputs from the past year (see BASIS CRSP Policy on Outputs for reporting and submission requirements, available on the web at <http://www.wisc.edu/lrc/opmantoc.html>). Please include pertinent information including dates, number of pages, location, and attendees (as applicable).

1. **BASIS CRSP Publications** Series submissions
2. **Other Print Outputs** including books, chapters, dissertations, journal articles, workshop presentations, trip reports, and proposals
3. **Non-Print Outputs** including databases, training activities, conferences attended, networking activities, videos, and photos.

IX. KEY FINDINGS and RESULTS. It is imperative the BASIS CRSP research findings and results be reported in annual activity reports. For examples, refer to the "boxed" information in the 1998-1999 annual report.

X. PHOTOS, ILLUSTRATIONS, or other GRAPHICS. Each project is requested to submit three (3) publishable photos or other illustrations for use in the BASIS annual report and web site. Please send original slides or photographs printed on paper (not electronic scans of the photos). Include an informative caption that identifies the individuals by name and the location. Illustrations such as GIS maps or newspaper articles are also welcome. Please provide the photographer's name or the source of the illustration.

BASIS Reporting Calendar with Due Dates

REPORT	DUE DATE to ME	DUE DATE to USAID	DESCRIPTION
ANNUAL WORK PLAN	September 1		Detailed proposal of work for coming year (October-September) for the project
ANNUAL BUDGET	September 1		Line item budget with budgeted amounts for project, and sub-agreements listed in Work Plan
ANNUAL ACTIVITY REPORT	October 30		Detailed report on progress during the previous year.
BASIS ANNUAL ACTIVITY REPORT		November 30	Culmination of Regional and Global research progress from previous year
BASIS ANNUAL WORK PLAN		November 30	Culmination of Regional and Global Work Plans for coming year (October –September), as well as Management section
TC MEETING MINUTES		2 weeks following the meeting	Summary of meeting discussions and recommendations
BOD REPORT		2 weeks following meeting	Summary of meeting discussions and recommendations
FINANCIAL REPORT		Quarterly	Report on expenditures and matching
ADD-ON FUNDING NOTIFICATION	2 weeks after notification		Sponsor, project objective and funding level
TRIP REPORTS	2 weeks after completion	4 weeks after completion	Includes planning trips, workshops, research trips, etc.
ISSUE REPORTS	As they occur	As they occur	Problems, delays, or issues that arise that influence the project schedule or budget should be documented with specific action(s) contemplated or taken.
EVENT REPORT	As they occur	As they occur	Favorable developments or events that occur which positively influence the project schedule or budget should be documented.
OUTPUTS	As they occur	As they occur	Any outputs resulting from BASIS CRSP activities must be submitted to the ME, with abstract.

BASIS ME Reporting Requirements

In addition to the reporting requirements that the researchers need to assist with, the BASIS ME has 4 reports that must be submitted to USAID. The 4 reports are: TC meeting minutes, BOD meeting report, EEP reports, and Quarterly financial reports. Summaries are provided below, but reference should be made to the language in the Cooperative Agreement for complete details. USAID occasionally requests other reports that fall outside of these contractual requirements and the ME complies, as requested.

TC meeting minutes

Within 2 weeks upon the completion of the Technical Committee meeting, the Management Entity must submit to USAID a copy of the minutes from the meeting. The minutes should include recommendations from the TC members regarding the research work plans and budgets. These summaries should contain information significant to program related problems encountered, as discussed by the PIs.

BOD meeting minutes

Within 2 weeks upon completion of the Board of Directors meeting, the Management Entity must submit to USAID a copy of the minutes from the meeting. The minutes should include recommendations of the BOD members regarding CRSP policies and program strategies.

Quarterly Financial Reports

The ME must submit within 30 days following the completion of each quarter, a financial report (Form 269 or 269A). This form should be submitted to both the Program Officer and the Agreement Officer. The financial reports shall include USAID funds provided to support the CRSP, cumulative expenditures, and non-federal matching funding contributed to the CRSP.



B A S I S

Student Training Report

BASIS CRSP FISCAL YEAR

First Name

Last Name

Phone

Institution and Address

Fax

Email

City

State

Zip Code

Gender

Citizenship of Student

Country

Degree Program and Major Field

Degree Program Start Date

Estimated Completion Date

Name of PI/Advisor

BASIS Research Site

BASIS Support for Student (\$ and % Appt)

Other Support for Student (Source and \$)

Funding classifications (select one):

- C: fully funded by the CRSP
- P: partially funded by the CRSP
- O: other funding supporting student's work on a CRSP project

Specific Activities performed for the BASIS CRSP during year and indicators of successful completion:

General Statement of actual or expected thesis/dissertation topic:

Other Comments:



Workshop Report

BASIS CRSP FISCAL YEAR

Please summarize all short-term training conducted, conferences or workshops held or attended
Including visiting scholars

Title of Event

Date of Event

Location of Event

Host(s)/Organizer(s) of Event

Purpose of the event:

Presentation(s) made (if relevant):

Number of attendees *:

USAID	US PIs/ Researchers	Host Country/ Regional Government	Host Country/ Regional NGOs	Host Country/ Regional PIs/researchers	Other (pls specify)	TOTAL
<input style="width: 80%; height: 20px;" type="text"/>						

Of the total number of attendees, how many were women? Men?

***Please attach a list of attendees, including name, title, and institutional affiliation is most useful. If there are any notable attendees, please indicate (i.e. Minister of Agriculture).**
Please attach an agenda for the meeting.

Other Comments/Accomplishments/Outputs:

Policy Guidelines for Add-on Contributions

USAID encourages AMA (and all CRSPs) to accept associate awards, contributions from USAID Missions and Bureaus that both support on-going or new components of the AMA CRSP research and training activities. AMA welcomes the opportunity for associate awards that complement and extend its research and training program. AMA also welcomes the opportunity to provide a service to USAID in fulfilling its strategic objectives as they relate to the AMA CRSP mission. BASIS will work with USAID to identify potential activities that would assist USAID missions with meeting their strategic objectives and fit well with AMA CRSP goals and objectives. As with other cooperative agreements, BASIS and USAID will work together to facilitate associate awards where appropriate and where administratively feasible.

Policy for Accepting Associate Awards:

Principal investigators of AMA CRSP projects are required to establish relationships with the USAID Missions and regional policy makers in the country/region where their research activity will take place. A PI is encouraged to brief the Mission on the project and to discuss potential linkages with the strategic objectives for the region. If a PI negotiates an add-on to extend his or her project or to add a related project that is consistent with the programmatic objectives of the AMA CRSP, it can be accepted through the existing Cooperative Agreement. Add-ons negotiated by other members of the AMA CRSP research network (*i.e.*, those who are not principal investigators of the primary projects) are similarly encouraged.

In addition to communicating directly with USAID missions, another way in which AMA CRSP may receive add-ons is through USAID regional bureaus or Global Bureau, with the assistance and through negotiations of the USAID Program Officer. BASIS will disseminate information on offers and opportunities for associate awards that it receives from the Global Bureau or other part of USAID to its network of researchers to solicit interest. Interested researchers will prepare and submit a proposal to respond to the offer.

Individuals seeking associate awards should submit their research proposal and budget to the ME. The management office will review the project in financial terms (see below). In addition, the AMA CRSP director and one other member of the technical committee will review the project in substantive terms, and give suggestions for strengthening the project and enhancing its ability to contribute to the overall BASIS research synthesis. The add-on activity must be designed as a stand-alone activity, which may be independent from other AMA CRSP research or may support a component of ongoing activities. The PI for the associate award activity and his/her institution will be responsible for all activities associated with the add-on, including preparing proposals, writing technical reports, and submitting invoices. The activity must comply with all policies of the CRSP, including the reporting calendar for the core activities of the BASIS CRSP (October- September). Outputs generated from the add-on activity must reference the AMA CRSP and copies must be submitted to the management office.

Administration and Financing of Associate Awards:

Add-ons are encouraged and will be accepted for research activities that complement the overall programmatic emphasis of BASIS. Full incorporation of add-on activities and investigators into

the BASIS research program is highly desirable. BASIS will also incorporate reporting on the add-on activity into its main annual report. The budget for associate awards must make provision for the modest (approximately \$6500) subcontracting charge which is paid to the University of Wisconsin – Madison for all new subcontracts.

All BASIS Travelers:

**Although formal mission authorization may no longer be required, the relevant USAID missions MUST be informed of any trips made under the BASIS program. The ME has been requested by USAID to provide information to the Cognizant Technical Officer with information regarding international travel funded through the agreement or for AMA CRSP activities. The purpose of this request is so that the Program Officer can keep the missions informed of AMA activity in the region or country and also in cases of emergency situations.

Please send your travel itineraries to the ME as soon arrangements have been made, preferably at least 30 days in advance. Please contact the management office as soon as travel is planned or if questions arise.

Additionally, all AMA CRSP travelers are encouraged to develop a relationship with the USAID Mission in the country where AMA CRSP is active. Researchers are responsible for briefing the Mission of proposed activities and seeking their involvement as appropriate. The USAID Mission should be involved in any policy recommendations that are made and ideally would be a good source of information for the team.

International Travel Guidelines:

All international air travel and shipments under the AMA CRSP agreement are required to be made on US air carriers to the extent service by such carriers is available. The full set of regulations can be found in the Fly America Act of 1977, a copy of which is available from the management office. The term "international travel" means travel to all countries other than the home country of the traveler.

Trip Reports:

In order to keep our partners better informed of AMA CRSP activities, contacts, and progress, the ME asks that all international travelers submit trip reports. Within 14 days following the completion of each international trip, the traveler should submit a trip report to the ME summarizing the accomplishments of the trip. If several individuals are traveling together to one site, a single report representing the group will suffice. The report should include the purpose of the trip, a summary of activities and the itinerary, technical observations, suggestions and recommendations for follow-up (if appropriate), and a list of contact persons with their title and organizational affiliation. These reports will be forwarded to the USAID Project Officer, and will be posted on the BASIS web site.

BASIS ME supported travelers: University of Wisconsin-Madison travel policies govern travel procedures sponsored by the BASIS ME or those BASIS researchers travelling from UW-Madison. Please contact the BASIS ME for current policies.

Procedures for Equipment Purchase

To purchase equipment on CRSP project or host country project funds, in compliance with the USAID, the ME must obtain USAID Project Manager approval for the following:

1. Purchase of Special Purpose Equipment, which is defined as an article of nonexpendable tangible personal property, which is used only for research, medical, scientific, or other technical activities, and which has a useful life of more than two years and an acquisition cost of **\$5,000 or more** per unit.
2. Purchase of General Purpose Equipment, which is defined as an article of nonexpendable tangible personal property, the use of which is not limited only to research, medical, scientific, or other activities (e.g., office equipment and furnishings, air conditioning equipment, reproduction and other equipment, motor vehicles, and automatic data processing equipment), having a useful life of more than two years and an acquisition cost of **\$5000 or more** per unit.

For equipment purchase and "BASIS CRSP Equipment Authorization and Request to Purchase" form must be completed. Equipment requests need the rationale which identifies:

- a. Reason the item is needed---relating to stated project objectives
- b. Ownership and responsibility for maintenance, liability and operation costs--whether U.S. or HC, CRSP or collaborating institution expenses
- c. Availability of budgeted funds for purchase, shipping, etc.

If the proposed purchase has a non-U.S. source and/or origin, a justification for waiver will be completed on the reverse side of the Equipment Authorization form. This is a very lengthy process, which must be absolutely necessary.

One copy of the completed form should be sent to the ME where it will be reviewed by the ME and the Director to confirm that the item requested supports research on identified project objectives and has been budgeted.

USAID/W approval for purchase (when required) will be transmitted in writing to the ME, who will forward copies to the Co-PI and designated Contracts and Grants Officer.

The ME will not process equipment purchase authorization requests for items already purchased. Without USAID/W approval for purchase, equipment costs will be disallowed by Federal auditors. These costs will then be borne by the U.S. lead institution or that entity or individual responsible for authorizing the purchase.

A copy of the "Equipment Authorization and Request to Purchase" form follows.

Equipment Authorization and Request to Purchase

TO: BASIS CRSP
USAID Project Officer

Date: _____

Grant No. LAG-A-00-96-90016-00

Institution: _____

Principal Investigator: _____

Item to be purchased _____

_____ Item is Special Purchase. Can only be used for research activities (i.e. microscopes and other laboratory equipment). **Prior written approval by USAID/ G Procurement Office is required when the item exceeds \$5000.**

_____ Item is General Purpose. Can be used for multiple purposes, including research activities (equipment and furnishings, reproduction and printing equipment, motor vehicles and automatic data processing equipment). **Prior written approval by USAID/ G Procurement Office is required when the item exceeds \$5000.**

Is this equipment of **US source and origin**? Yes _____ No _____

Suggested Vender and Country of Source/Origin** _____

**If the source and/or origin of the equipment are/is other than the US, the item will require a waiver from USAID. Complete the justification for the waiver on the next page.

Quantity _____ Unit Price (US\$) _____ Total Price _____

Equipment will be used in what location: _____

Person(s) responsible for equipment: _____

Was the equipment approved in the workplan? Yes _____ No _____

BASIS CRSP Principal Investigator Date

BASIS CRSP Program Director Date

BASIS CRSP Project Officer, USAID/G Date

Equipment Waiver Request

If the source and/or origin of any equipment to support activities of the BASIS CRSP are/is other than the US, the item will require a waiver from USAID.

Suggested Vender and Country of Source/Origin** _____

Justification: Why must a non-US vendor/manufacture be used?

BASIS CRSP Policy on Outputs

The BASIS CRSP recognizes that there are multiple venues for sharing the results and impacts of BASIS outside of the written word. This policy statement provides guidance to BASIS CRSP researchers as to what constitutes an output, what requirements researchers have in notifying and providing their outputs to the Management Entity (ME), and what steps the ME will assume in facilitating the dissemination of information to as wide an audience as possible.

BASIS, as a collaborative venture, values collaboration in all aspects of the project, including outputs. Genuine collaboration is often demonstrated through joint authorship and publication of papers.

Outputs fall into three categories: (1) the BASIS CRSP Publication Series, (2) other print material arising from BASIS CRSP activities, and (3) non-print material.

I. BASIS Publication Series

The BASIS Publications Series was created as a coherent series to help our audience readily identify products of the CRSP. AMA CRSP outputs will be part of this series. It is available as one avenue for researchers and partners to disseminate their research findings, implications, and policy recommendations. Publication in the BASIS Publications Series does not preclude submission of material to professional journal. All materials published in the BASIS Publication Series will be posted on the BASIS web site. The existing components of the Series follow.

BASIS Brief: Four to 8 page targeted piece, useful for policy and research issues

Profile: Short piece (usually one, double-sided page), designed to quickly convey information about BASIS, its regions, or its projects.

BASIS Reports: Formal reports required by USAID.

Researcher requirements: *Submit material to the ME for publication consideration, including a 200 word abstract.*

Any BASIS researcher or partner may submit material for consideration in the Publications Series. The material must be submitted to the BASIS Editor with a note indicating to which series component the material is addressed. *Publications Guidelines* for authors is available on the BASIS CRSP web site or from the ME.

ME responsibility: *Publication, dissemination, and listing.*

The BASIS CRSP bears the responsibility of reproducing and disseminating the publications in the BASIS CRSP Publications Series to USAID, per agreement guidelines, to all institutional partners, management group members (TC, BOD, and EEP), and BASIS researchers. The ME will bear the cost of such dissemination, up to 100 copies. The ME will provide a listing of available publications.

II. Other print outputs

It is recognized that not all print material will or should be submitted to the BASIS Publication Series. Other print material arising from BASIS activities can include books, chapters, dissertations and theses, training manuals, proceedings, workshop reports, trip reports, proposals,

and brochures. The ME encourages publications to be disseminated as widely as possible, especially in professional journals affiliated with the topics of focus of the BASIS CRSP or through publication houses in host-country institutions.

Researcher requirements: Provide copies of the output and a 200 word abstract to the ME and use proper acknowledgements.

Five paper copies and an electronic copy of all papers submitted for publication in journals, proceedings, or other print venues must be submitted to the ME. Please provide the ME with the information that is most relevant: (a) journal in which the paper was accepted, expected issue in which the paper will be published, (b) conference at which the paper will be presented, date of conference, and date of publication for proceedings, (c) summary information from the other print venue used.

Papers resulting from AMA CRSP activities that are submitted to professional journals, other print venues, or posted on websites must acknowledge the AMA CRSP and USAID (with agreement number). When possible, the BASIS logo should be added. Also, a disclaimer showing that the authors and not the organizations are responsible for the content and views in the publication must be added. Acknowledgements and disclaimer should appear on the title page, inside title page, or “acknowledgements” section of each publication. Example of the standard acknowledgement follows:



This publication was made possible by support provided in part by the US Agency for International Development (USAID) Agreement No. EDH-A-00-06-0003-00 awarded to the Assets and Market Access Collaborative Research Support Program (AMA CRSP). All views, interpretations, recommendations, and conclusions expressed in this paper are those of the author (s) and not necessarily those of the supporting or collaborating institutions.

ME responsibility: Provide USAID with copies; list all outputs.

III. Non-print material

These include databases, policy recommendations, training, conferences attended, networking activities, website material, visuals such as videos or photo displays.

Researcher requirements: Notify ME and provide dates and summary. Provide copies of the material to the ME, if possible, for use in reports.

ME responsibility: Provide USAID with summaries of non-print outputs; list all outputs.

IV. Data Collection, Ownership and Sharing Policy

Every effort should be made to make data available to the public as quickly, yet as appropriately as possible, while always being attentive to the rights of the respondents. Data collected through the BASIS CRSP will be made public within 2 years of collection, though sooner if possible.

Release of data may take one of several forms, but posting on or linking the data to the BASIS web site will be encouraged. Before the data are released, full sharing is expected among all collaborating individuals and institutions. The scientists responsible for collecting data will reach consensus about release of those data before they are released.

As much of the data collected by BASIS researchers will involve human subjects, researchers are required to fulfill the requirements of US institutional review boards to ensure compliance with US DHHS regulations.

The Technical Committee must approve any requests to deviate from these guidelines.

V. BASIS Brief—Writers’ Guidelines

Purpose

Briefs are reader-friendly reports on BASIS CRSP activities. Effective briefs are concise, appeal to a wide audience, and clearly report significant results. Briefs emphasize **policy** and/or **research**.

Policy briefs analyze policy situations and present observations and/or recommendations based on key research findings. Policy briefs help policymakers and development professionals understand and address problems.

Research briefs explain projects, methodologies, issues, and/or results. Research briefs share information to expand knowledge and build capacity.

Audience

Policy briefs target policymakers and development professionals at governmental and non-governmental organizations and donor agencies. **Research** briefs target academics, researchers, and other professionals.

Organization

Authors are encouraged to include the following key elements:

1. Introduction. Describe the policy or research issue. Catch the reader’s attention by showing what researchers are trying to find out and why it is important.
2. Background. Briefly explain the history of the topic.
3. Discussion. For **Policy** briefs, analyze current realities, pressures for change, policies under consideration, local-level changes, etc. For **Research** briefs, present methodological questions, data analysis, research findings, etc.
4. Conclusions. Outline solutions, policy options, guiding principles, observations and suggestions, areas for further research, pitfalls to avoid, etc.

Specifications

Because English may be a second language to many readers, use a straightforward writing style. Submit both hard and electronic copy in Word and hard and electronic copies of any special charts, graphs, or other graphics.

Length: 1,200-1,500 words for 4-page Brief
2,400-3,000 words for 8-page Brief

Format: MSWord, Times New Roman 12 point, 1-inch margins.

Subheads: Please include appropriate subheadings.

Graphics: Include effective visuals (maps, charts, tables, slides/photos, etc.). Submit original slides or photographs printed on paper (not electronic scans). Include an informative caption that identifies the subject and individuals by name and location. Provide the photographer’s name or the source of the illustration. Illustrations such as GIS maps or newspaper articles are also welcome.