

**GUIDELINES
FOR
COLLABORATIVE RESEARCH SUPPORT PROGRAMS
UNDER TITLE XII**

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FOREWORD

These Guidelines are revised with input from the agriculture community involved with the CRSPs, recommended by the Board for International Food and Agricultural Development, and approved by USAID. The Guidelines that were amended were developed by the former Joint Committee on Agriculture Research and Development dated October 30, 1989, which amended those dated June 21, 1985, October 10, 1979 and October 11, 1977. This amendment incorporates the experience gained in planning and implementing the Collaborative Research Support Programs since the first ones were initiated in 1978. The amendment also reflects new and changed policies and regulations.

These amended Guidelines were approved by the Administrator, J. Brady Anderson, for the U.S. Agency for International Development on [*Date will be inserted after the Administrator has signed the Action Memorandum.*]

DISCLAIMER

These guidelines are advisory in nature, and are intended to assist agency employees and U.S. institutional partners in implementing the Collaborative Research Support Program (CRSP). Those implementing a CRSP are strongly encouraged to review and consider these guidelines, but are not required to follow them, and are not violating agency policy when not adhering to them. These guidelines create no legal rights and impose no legal duties.

GUIDELINES FOR COLLABORATIVE RESEARCH SUPPORT PROGRAMS

EXECUTIVE SUMMARY

During the last 100 years the U.S. land grant university system of agricultural research, along with federal and private initiatives, has evolved a powerful and proven capability for boosting the productivity, distribution and utilization of products from land and water. The Collaborative Research Support Program (CRSP) has been put into place to link the capabilities of the U.S. agricultural universities to the needs of developing nations worldwide. This step was made possible by the United States Congress through passage of the International Development and Food Assistance Act of 1975. Title XII of the Act authorized the President "...to provide assistance on such terms and conditions as he shall determine.... to provide program support for long-term collaborative university research on food production and distribution, storage, marketing, and consumption." Title XII also provides that "Programs under this title shall be carried out so as to... (2) take into account the value to United States agriculture of such programs, integrating to the extent practicable the programs and financing authorized under this title with those supported by other Federal or State resources so as to maximize the contributions to the development of agriculture in the United States and in agriculturally developing nations."

Between 1977 and 1982, USAID, operating under authority of the Title XII Amendment, implemented eight CRSPs. These were undertaken with the advice and participation of the Joint Research Committee (JRC) of the Board for International Food and Agricultural Development (BIFAD). In 1982, the JRC was replaced by the Joint Committee on Agricultural Research and Development (JCARD). USAID, BIFAD, Title XII universities and institutions of developing countries worked together to develop guidelines and determine priorities for planning and initiating CRSPs. Since 1982, USAID has implemented three more CRSPs and two CRSPs have been terminated resulting in a current total of nine.

These guidelines supersede the 1989 edition which amended the 1985, 1979 and 1977 editions. They provide illustrations and guidance for planning, initiating and operating CRSPs while preserving the flexibility needed to allow each CRSP to deal with unique circumstances. Details are provided on the sequences and approvals required for the initiation of a CRSP, for the kinds of institutions, which must be involved, and the commitments they must make. The unique roles of the Planning and Management Entities visualized for each CRSP are defined and their creation and operating activities are prescribed. Special consideration is given to interaction with USAID Missions and international agricultural research centers (IARCs) in both the planning and the operational phases of CRSPs. Reviews and evaluations, both informal and formal involving internal and external personnel are described. The operational limits of the CRSP concept are defined, as are the expected outputs from a CRSP.

In developing the CRSP concept USAID, JRC, JCARD, and BIFAD introduced new methods of planning and implementing research, and new mechanisms for collaborating with U.S. universities in research programs that offer a number of benefits to universities and USAID

as well as to developing countries. Some of the principle characteristics, which are amplified in the guidelines, are summarized as follows:

1. CRSPs have a dual goal aimed at improving agriculture both in developing countries and the United States;
2. Participating U.S. institutions agree to contribute at least 25 percent of the cost of the CRSP from state or other non-federal resources (in finances or in kind), justified on the basis of benefits that can accrue to their state's agriculture and their institution;
3. Each CRSP is designed to achieve collaboration between scientists of participating U.S. and developing country institutions;
4. Each research program is planned to address priority constraints identified jointly by USAID, BIFAD, U.S. universities, and host country institutions;
5. Host country governments also contribute to the programs from their resources in kind, financing, and personnel;
6. Collaboration with Non-Governmental Organization (NGO) and/or private sector partners in the planning and implementation of a CRSP is encouraged;
7. The research of each CRSP is designed on a program basis, rather than a project basis, to address multisectoral, biological, physical, social and economic constraints by collaborative efforts of multidisciplinary teams working on several projects;
8. The science and technology necessary for research on these constraints are by necessity drawn from a number of U.S. universities because no single university normally would have available the number of disciplines required;
9. The participating U.S. universities organize themselves for program management and financial accountability under a lead institution, chosen by them, to serve as the Management Entity, with policy directions coming from a board of directors elected by the participating institutions;
10. USAID exercises its management responsibility with the assistance of the Management Entity which is held responsible for the program and accountable for USAID funds distributed by the Management Entity to participating institutions by sub-grants under signed agreements; thus, USAID's management burden is lessened, since it deals only with the Management Entity;
11. An institutional development component is built into each CRSP through training and participation of host country scientists;
12. The aim of each CRSP is to complement USAID's country strategy for the developing country site;

13. International scientific linkages are established through cooperative activities and exchange of scientific information with International Agricultural Research Centers (IARCs), including those under the Consultative Group for International Agricultural Research (CGIAR), with appropriate national and private research institutions around the world and with scientists of non-participating U.S. universities;
14. Research in these programs may be conducted in non-presence and "graduate countries", justified on the basis of the global/regional nature of the program and the contributions such countries can make to the program and to neighboring less developed countries; and
15. The research work of each CRSP is evaluated periodically by a peer group as an external evaluation panel composed of top U.S. and other country scientists from institutions not involved in the program.

The CRSP instrumentality has gained acceptance within USAID, within developing countries and among participating and collaborating institutions as experience has been gained. These guidelines which are based on several decades of experience involving several CRSPs are intended to improve the performance of existing CRSPs and to facilitate the consideration and initiation of new CRSPs as appropriate.

GLOSSARY AND ACRONYMS

Administrative Council	A group of university administrators, composed of a representative from each U.S. institution participating in a CRSP; sometimes called “Board of Institutional Representatives”; each member represents the interests of their institution as well as the CRSP as a whole.
AFS	Office of Agriculture and Food Security within the Center for Economic Growth and Agricultural Development of USAID’s Global Bureau.
Agreement Officer	A person with authority to enter into, administer, terminate and/or Closeout assistance agreements. The term “Agreement Officer” includes persons warranted as “Grants Officer”.
Baseline Data	That information and data base in some sector or aspect of a developing country which is necessary to measure change in the future.
BIFAD	Board for International Food and Agricultural Development.
Bilateral Programs	Assistance programs involving arrangements between a single developing country and a single donor country.
Board of Directors	An advisory body selected to assist, advise, and make policy recommendations to the ME in the execution of a CRSP. Members represent the interests of the CRSP.
CGIAR	Consultative Group on International Agricultural Research.
Collaborating Institutions	Institutions which form a partnership arrangement with a lead participating U.S. institution to collaborate on a specific research project.
CRSP	Collaborative Research Support Program.
CRSP Council	Administrative body consisting of the Program Directors and Chairs of the Boards of Directors and Technical Committees from each active CRSP.

CTO	Cognizant Technical Officer. A USAID employee designated by the Agreement Officer to oversee a CRSP on behalf of USAID.
EEP	External Evaluation Panel. Senior scientists not involved in the CRSP and selected externally for their ability to evaluate objectively the scientific progress and relevance of a CRSP program on an ongoing basis.
Ecological Zone	A geographical boundary irrespective of political boundaries, representing common climate, ecology, soils, and other natural features for growing crops, raising animals, or engaging in aquaculture.
EGAD	Center for Economic Growth and Agricultural Development within USAID's Global Bureau.
Exploratory Study	A study undertaken to define the feasibility of conducting a CRSP, or to provide supplementary information needed for definition of approach, scope, and interests of U.S. institutions in participating in a CRSP.
Five-Year Review	A formal review by USAID of a CRSP with joint participation of BIFAD, which takes place every five years and is used as a basis for roll-forward authorization and funding.
Global Bureau	USAID's Bureau of Global Programs, Field Support and Research.
Global Plan	The overall plan of a CRSP for research on problems and constraints, global in nature, whose results are applicable and transferable regionally and globally (worldwide).
Graduate Countries	Countries formerly classified as developing countries, which have progressed to the point that USAID support has been stopped or reduced because the per capita income has risen to the limit defined by the United Nations for technical assistance.

Grant Agreement	The formal legal document which represents a binding agreement between USAID and the ME institution for a CRSP. This is the legal document for the CRSP, recognized as such by USAID and the recipient institutions.
Grant Proposal	The formal document submitted by an ME to USAID, proposing a CRSP for receiving a grant outlining the manner of implementation of the program, and showing the budgetary requirements.
Host-Country	A developing country in which a CRSP has formal activities.
IARCs	International Agricultural Research Centers, including those under the Consultative Group on International Agricultural Research.
Institutional Development	Improvement in the capability of institutions in developing countries to conduct developmental programs for agriculture and other sectors, or for implementing educational/training, research, health and other public programs. Improvements may include physical facilities. Equipment, furnishings, transportation, organization but refers primarily to development and training of professional cadre.
JCARD	Joint Committee on Agricultural Research and Development.
Matching Requirement	That sum of resources, financial or in-kind, which participating U.S. institutions must collectively contribute to a CRSP program as defined in the grant document.
ME	Management Entity of a CRSP.
Mission	A formally organized USAID unit in a developing country led by a Mission Director, or a Country Representative.
Mission Access	A procedure whereby an USAID Mission makes a formal financial commitment to one or more facets of research in a CRSP which coincides with the country interest of the Mission.
MOU	Memorandum of Understanding.
NGO	Non-Governmental Organization.

Non-Presence Country	A developing country in which USAID has no physical presence.
Participating Institutions	Those institutions that participate in the CRSP under a formal agreement with the management institution, which receives the USAID grant.
Pass-through Funding	Funds transferred from a CRSP entity to a cooperating developing country entity for purposes of supporting in-country activities of the CRSP.
PE	Planning Entity.
Peer Panel	A small group of experts selected to assist with some aspect of planning or implementing a CRSP, sometimes used to help identify the most appropriate participating institutional members for participating in a CRSP.
PI	Principal Investigators. Scientists in charge of the research for a defined segment or a scientific discipline of a CRSP.
Prime Country Site	A country site selected for collaboration in a CRSP because of its interest and scientific and institutional research capability and because its ecology represents that of a wider regional zone.
SPARE	Strategic Partnership for Agriculture Research and Education.
Sub-grant Agreement	A document representing a sub-agreement made between the ME and a participating institution under authority of the grant agreement by the ME with USAID.
TC	Technical Committee. A group of scientists selected to help guide the scientific aspects of the research program of a CRSP.
Title XII	The Title XII Amendment to the International Development and Food Assistance Act of 1975 as passed by the United States Congress and subsequently amended.
USAID	United States Agency for International Development.
USAID/W	Washington headquarters of the United States Agency for International Development.

USDA United States Department of Agriculture.
USDOC United States Department of Commerce.
USEPA United States Environmental Protection Agency.

GUIDELINES FOR COLLABORATIVE RESEARCH SUPPORT PROGRAMS¹

I. INTRODUCTION

A. Background

The International Development and Food Assistance Act of 1975, which amended the Foreign Assistance Act of 1961, as amended, included a Title XII, entitled "Famine Prevention and Freedom from Hunger." Section 297(a) of Title XII provides authority for a totally new type of research program "... to provide program support for long-term collaborative university research on food production, distribution, storage, marketing and consumption."²

B. Purpose of these Guidelines

The purpose of these guidelines, hereinafter referred to as "CRSP Guidelines," is to outline general concepts and approaches to aid in the planning, management, and evaluation of long-term collaborative university research programs as mandated in Title XII. Section 297(b) of Title XII states that these programs shall be carried out so as to utilize and strengthen the capabilities of universities and institutes in agricultural research to be conducted in the cooperating nations, at international centers, or in the United States; they should take into account the value to United States agriculture of such programs; and whenever practicable, they should build on existing programs and institutions including those of the universities, the United States Department of Agriculture (USDA), the United States Department of Commerce (USDOC), the United States Environmental Protection Agency (USEPA), and other domestic and international agencies.³

These revisions build upon the guidelines issued October 11, 1977, October 10, 1979, June 21, 1985 and October 30, 1989 and bring them up to date to reflect experiences and accepted BIFAD/USAID-University policies, procedures, and practices that have evolved since the planning of the first CRSP was initiated in 1977. On the basis of this experience, this document is constructed to include details of processes to be followed in selecting a Planning Entity, in planning a CRSP program, and in selecting participating institutions and a Management Entity for a CRSP. The Guidelines now cover more fully both the joint and separate roles of BIFAD

¹ This paper outlines general concepts and approaches to guide CRSP efforts which have come into being since the initiation of the first program in 1978 and to aid in the establishment of new CRSP efforts. The creation and continuing implementation of research programs under these guidelines must be in accordance with applicable U.S. laws, regulations and policies. 22 CFR 226 implements Office of Management and Budget (OMB) circular a-110 establishing uniform administrative requirements for Federal grants and agreements. USAID also has an Automated Directive System (ADS) Chapter 303 for Grants and Cooperative Agreements to Non-government Organization in USAID General Notice dated May 25, 1998.

² The International Development Cooperation Act of 1979 amends this provision by inserting, "in the developing countries themselves to the maximum extent practicable" immediately after "university research." USAID, BIFAD and the participating universities have given special consideration to this point of Congressional emphasis

³ A major distinction between "collaborative research" and "centrally funded contract research" deals with the contribution of a specified level of university resource commitment to the program since such contributions are required for all "collaborative research" programs, but not for "centrally funded contract research" projects. For the purposes of these guidelines, the definition of a U.S. university is as described in Section 296(d) of Title XII.

and USAID in planning, implementation, management, evaluation, and review of a CRSP, and clarify the accepted policy and procedures for BIFAD/USAID involvement, for university participation and for USAID implementation and review of CRSPs. Since the CRSPs are jointly planned and managed by BIFAD, USAID and participating universities and implemented with support from USAID and participating universities, these CRSP Guidelines have been jointly developed with university input and have been jointly agreed upon by BIFAD and USAID. These revised guidelines also outline the role that the recently instituted Strategic Partnership for Agricultural Research and Education (SPARE) will play regarding the CRSPs.

The CRSP concept was derived from a mutual desire of USAID and the universities to build upon the long experience and many benefits derived from the state-supported research efforts which receive supplemental funding from the USDA through such mechanisms as the Hatch Act. Such mutually funded programs have been justified by the complementarities of benefit to U.S. Government and individual state objectives in agricultural programs.

The Hatch Act model does not provide a completely applicable analogy to CRSPs, however, as both U.S. Government research funds and those from the states are directed principally to domestic objectives - albeit at different levels of governmental aggregation - and both the USDA and the state research institutions are mandated to serve domestic U.S. interests. In contrast, U.S. funds for foreign assistance are to aid the people of developing countries, and USAID is mandated to use its resources for this intended purpose. However, Title XII provides for a departure from this rule by mandating a dual goal for long-term agricultural research to solve problems in the developing nations and at the same time to provide benefits to U.S. agriculture. For this purpose, Section 297(b) of Title XII provides that "programs under this title shall be carried out so as to ... (2) take into account the value to United States agriculture of such programs, integrating to the extent practicable the programs and financing authorized under this title with those supported by other federal or state resources so as to maximize the contributions to development of agriculture in the United States and in developing nations." Since most non-federal funds made available to U.S. agricultural universities must be focused on solutions to domestic problems, this duality of purpose is a key part of the collaborative process.

Agricultural leaders concerned with both domestic and developing country needs for research-based science and technology in agriculture have come to recognize increasingly large areas of overlap of the subject matter, and the potential mutual advantage of joint research program efforts which cut across national boundaries and different level of agricultural development.

Most commercial crops and animals produced in the U.S. have origins in developing countries, and most of the world's food comes from genetic resources which are common to both the more and the less-developed countries. Thus, there is much mutual interest in improvement of germ plasm and animal breeds. Furthermore, such production-limiting factors as plant and animal pests, climate, and soil constraints are often best studied under the conditions of maximum stress, which frequently occur in developing countries. Most important, solutions of specific, major technical problems often require critical masses of scientific talent and institutional resources not usually available in a single U.S. institution or to a single developing country, especially to the poorer, less-developed countries.

II. THE CRSPS

A. Concepts

“Collaborative Research Support Program” is the term used herein to define programs carried out under Section 297(a)(3) of Title XII. These are long-term research programs supported by USAID for collaboration of participating⁴ U.S. institutions with institutions in developing countries. CRSPs address specific problems of food production, distribution, storage, marketing, and consumption, and include such factors as policy/planning, basic plant genetic and other biological research as well as socioeconomic, institutional and cultural factors to determine such things as consumption patterns and preferences, and improve food processing, and nutrition. Formally organized, individual components of a given CRSP may be designated as projects. An institution (called a Planning Entity) is selected to plan each CRSP, following which an institution (called a Management Entity) is selected to manage each CRSP.

The title "Collaborative Research Support Program" (CRSP) also denotes an arrangement which facilitates collaboration among U.S. universities, the USDOC, the USDA, other federal agencies, international agricultural research centers, private agencies and industry, developing country universities and other research and extension institutions. This arrangement, facilitated by BIFAD and USAID, brings together the resources necessary to successfully conduct a multi-disciplinary, multi-faceted, international research program. Collaboration is carried out on a problem-oriented basis in a common, integrated research and development program to solve a priority food, nutrition, or rural development problem. This may require some fundamental research. A diagram showing possible relationships among the parties is illustrated in Figure 1. This is for illustrative purposes only and appropriate variations will be generated for each CRSP.

The amelioration of world food, nutrition and poverty problems will require considerable expansion in a comprehensive body of relevant scientific knowledge. Although improving and expanding, the research capacity extant in the developing nations is insufficient to the task of providing such knowledge in an adequate time frame. Many of the countries, particularly in Africa, need much more assistance in research and institution building to solve their agricultural and fishery production problems. These have been further complicated by global economic inflation, the high cost of energy and other agricultural inputs, and food being imported by deficit countries.

⁴ The term "participating institutions" is used to denote institutions contributing financially to the CRSP, as defined further in this document. The term "collaborating institutions" includes these plus all other U.S. and developing country institutions collaborating significantly in the total CRSP effort.

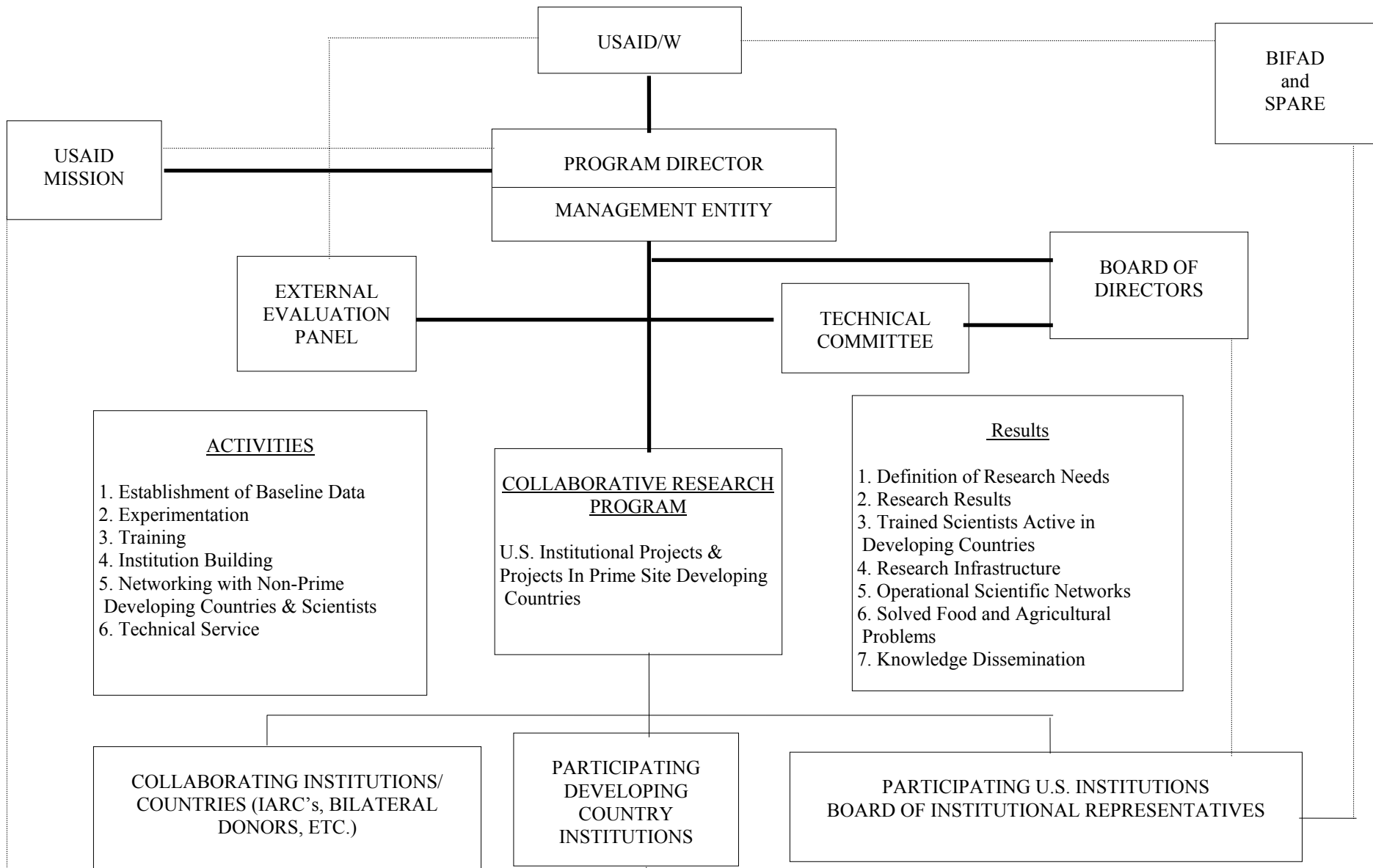


Figure 1: ORGANIZATION, ACTIVITIES AND OUTPUTS OF A TYPICAL CRSP

Successful solutions to food problems in developing countries require a unified and collaborative effort in research and technical assistance among U.S. institutions, other bilateral donors, and international organizations. There exists in the developed nations research capabilities in science and technology that can make a difference in the developing countries if these resources are properly organized and made available to LDCs in a collaborative effort to address the constraints.

International Agricultural Research Centers (IARCs) were established to address specific problems in food production in developing countries. Most IARCs are supported by members of the Consultative Group on International Agricultural Research (CGIAR), including the United States. The mandate of these centers requires that their research focus on selected commodities, plants, animals, and related areas that are suitable for application to developing countries. They provide research advisory assistance and training programs to developing countries. Most of the training is in research at center sites, and is short-term. IARCs generally do not support academic training of developing country personnel under their core budgets, but they do host the research of sponsored degree candidates.

Where CRSPs are involved in programs similar or related to the research programs at an international center or centers, efforts should be made to seek cooperative or collaborative arrangements in order to achieve complementarity in the comparative advantage of the parties and to avoid duplication and competition.

The CRSPs and IARCs have made headway in this respect, through memoranda of understanding and in joint programs for developing countries. However, there is still need and potential for more innovative models to link the centers, CRSPs, and other developed country institutions together in close collaboration with developing countries in a systematic manner to address priority constraints. Since only a limited number of CRSP's efforts can be funded in any time period, it is imperative that the constraints selected for research for a given CRSP be of high priority, be feasible, and represent a global or major regional community of interests among developing countries, IARCs, other donors, USAID and U.S. institutions. The solutions to be sought should have the widest possible area of applicability and should have a strong probability of impact on developing countries.

The Title XII legislation as amended by Congress in 1979 requires that research be done in the developing countries themselves to the maximum extent possible. The plan for each CRSP must be developed to achieve the best balance between research in the United States and in the developing countries to suit their needs and to capitalize on the comparative advantage of the U.S. institutions in a manner to most effectively achieve the CRSP dual objectives.

Each CRSP will have a life-span of its own dictated by the nature of the problem, the progress made in the early years, the job left to be done and competing priorities. In general, CRSPs will be long term. The intent is not only to find solutions to constraints through research, but also to simultaneously develop greater research institutional capability in the developing countries where CRSP activities are located. Hopefully, the institutional relationships established between CRSPs and host countries will be enduring and will transcend the life of the CRSP. While not structured specifically as a training program, the research program in each

CRSP addresses institutional development requirements and accommodates training needs through graduate degree programs, research assistantships and workshops for candidates of prime countries in which the CRSP is operating. This is in keeping with the American universities' tradition of using graduate students heavily in the main thrust of research programs. Such programs are encompassed in CRSPs currently underway.

The validity of the CRSP effort was given impetus by USAID Policy Directive 4 dated October 5, 1982 in which the Administrator stated, "It is my intention that the Agency take immediate and continuing steps to... mobilize the best and most appropriate Title XII resources for each project need, rapidly and effectively, either alone or together with non-Title XII resources, using all mechanisms at our disposal."

Development of and participation in CRSPs by universities and federal agencies are guided by the following concepts:

- (1) Programs under Title XII should, wherever practical, build on existing programs and institutions including those of the universities and the United States Department of Agriculture and the United States Department of Commerce⁵. It should be noted that the, "build on existing programs" does not mean build up - but the utilization of what already exists as a base.
- (2) In such fields as education, health or agriculture, the facilities and resources of other federal agencies shall be utilized when such facilities are particularly or uniquely suitable for technical assistance, are not competitive with private enterprise, and can be made available without interfering unduly with domestic programs ⁶
- (3) A federal agency's appropriations may not be augmented with USAID funds unless the project to be undertaken by the federal agency on behalf of USAID is one not regularly budgeted by such agency.
- (4) A federal agency may participate in a CRSP as an institution and receive federal funds from a participating university (Management Entity) through a subgrant or contract, so long as the primary university character of the research program is not changed, and so long as the participation is also subject to the enabling legislation of the particular federal agency. However, if a participating federal agency's activities are covered by specific appropriations under its own legislation, it must be determined administratively that the expenditures from the USAID grant for such purposes are required for effective implementation of the grant.

⁵ Foreign Assistance Act, Section 297(b)(3)

⁶ Foreign Assistance Act, Section 621(a)

B. Program Approach

The CRSP approach links U.S. and LDC institutions having common interests in organized programs of research on selected problems. A collaborative research program on a single problem of common interest to the U.S. and several of the developing nations might involve a single U.S. institution as the U.S. leader, an international center and several developing nation agricultural universities or research centers. More commonly, two or more U.S. universities, and as appropriate, other U.S. institutions with exceptional competence and interest in the problem might work as a team with the collaborating institutions of developing countries. The concept is to organize research on a program basis with adequate number of scientific disciplines to solve the constraints. This is distinguished from the project, piece-meal approach to research, traditional in much technical assistance.

The extent of available funding influences the size of each program, and consequently, the number of institutions, which can participate. The number of U.S. institutions to be involved should be the minimum required to access the major pools of disciplines and talent necessary to accomplish the objectives of the CRSP and facilitate efficiency in management. Some institutions might become involved on short-term assignments through subcontracts with the Management Entity or a principal participating institution.

Each CRSP must have a global plan with objectives and stated strategies for achieving these objectives. In selecting country sites, a criteria established originally by the former Joint Research Committee is emphasized herein:

- (1) That the commodity, fishery or other resource, or factor to be researched is important to the economy of the country;
- (2) That there exists in the country a basic research institutional capability for viable research;
- (3) That the government is interested and committed to supporting research; and
- (4) That it is highly desirable that the appropriate USAID Regional Bureau and/or USAID Mission agree to the research program at the specific site.

Another criteria is that, for cost-effectiveness and for achieving the global effect, resources be concentrated in a minimum number of countries necessary in a major ecological zone or geological region to achieve the objectives.

Different models for CRSP activity have emerged as appropriate for managing productive research and institutional development. CRSP structure should take into account geographic, ecologic and institutional considerations. Inter-CRSP linkages have proven valuable for exchange of research results, the enhancement of scientific networks and dissemination of results.

In all CRSPs, a formal agreement must be negotiated for CRSP involvement at each country site. The agreement specifies the conditions, responsibilities, and resource commitments of the collaborating parties. Any changes in the program should receive ratification by institutional administrative representatives, both in the U.S. and overseas.

The ME should involve the USAID Mission in the development of the CRSP program and the agreement. The Mission should be given a copy of the final agreement and have the opportunity to be a co-signator if it so desires. Involvement of the Mission will assure that the CRSP is not in conflict with any of the Mission's projects and, where possible, will complement Mission activities. Also, dialogue with Mission personnel, including the Mission director, will permit coordination of the use of limited host country personnel and other resources, and offer other potential benefits to the CRSP's purpose. In addition to the importance assigned already to these instruments, it is necessary to emphasize that they should be updated at appropriate intervals and the existence of such documents needs to be continually reinforced in the minds of all concerned. The ME should also coordinate with other bilateral agencies and international organizations involved in related programs in the country.

III. CRSP STRUCTURE

A. Planning Entity

Each CRSP will normally come into existence as a result of a plan developed by a Planning Entity (PE), whose attributes and responsibilities, along with the planning process, are explained elsewhere in these guidelines.

B. Management Entity

For each CRSP, an administrative "Management Entity" (ME), which must be an institution (with the legal status of a juridical body) will be required for administering the grant from USAID and for managing the total research program. This ME can be a U.S. university, an administrative unit within a university, a consortium or other structures of universities, legally organized as a juridical body, representing the participating institutions. Any institution eligible to receive a federal grant would be eligible to serve as a Management Entity. There is no authority for a federal agency to serve as a Management Entity of a CRSP. However, as mentioned, a federal agency can participate in a CRSP under the same conditions as an eligible Title XII institution and receive USAID funds directly from USAID or through a U.S. university.

The ME receives and administers USAID grant funds for the CRSP and enters into subgrant agreements with participating U.S. and developing country institutions for their respective projects, according to the global program plan developed for the CRSP by the PE. The ME is responsible for implementation of the program and for coordinating and leading the development of annual budgets and work plans. It is responsible for the program and accountable to USAID for all expenditures. The ME establishes a system to facilitate and manage travel. It reports on the program and represents the CRSP in dealings with USAID. The ME, through its subagreements with participating institutions, holds them responsible for programs and

accountable for use of funds. 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.

USAID's review and evaluation procedures are designed to assure that the performance of the Management Entity is appropriate for achievement of objectives in accordance with the overall plan and budget contained in the grant document. BIFAD advises USAID and participating institutions through participation in reviews, evaluations, workshops, CRSP meetings and other activities.

1. Changing a CRSP Management Entity

A change in the Management Entity (ME) of a CRSP may be effected either for cause as determined by USAID, or by unanimous request of the participating institutions themselves.

Should the change be for cause, procedures for termination as indicated in 22 CFR 226.60 will be followed.

Should the change be requested unanimously by of all participating institutions within the CRSP, the ME will recommend a change to BIFAD and USAID. Should USAID and BIFAD concur that a change in the ME is necessary, USAID will solicit proposals from institutions eligible to receive federal grants. The proposals shall include documentation of capability to serve as the ME and also to participate in the scientific research of the CRSP. BIFAD will review the proposals and make a recommendation to USAID for the final selection of the new ME.

Should there be a majority of the participating institutions determining it necessary to make a change in the ME, but without the concurrence of the ME, the majority and minority views shall be submitted to BIFAD for review resolution of the issue. BIFAD will make its recommendation, which may include a proposal for a special study of the issues, to USAID. Should there be resolution in favor of a change in the ME, the same procedure expressed in the preceding paragraph would be followed for selecting the new ME.

Any change in the ME will require a new grant.

C. Organization of Participating Institutions

The ME for each CRSP, in concert with participating institutions, creates a system of governance, which may vary as to details from CRSP to CRSP and within a CRSP over time. Each body shall establish a charter and set of by-laws for its specific duties and responsibilities. Although there are different structures among the CRSPs, the system which has evolved and which has been found acceptable may include the following entities:

1. Board of Directors

The Board consists of representatives from some or all of the participating institutions and may include individuals from other organizations. The CRSP Director and USAID Cognizant Technical Officer (CTO) serve as an ex-officio members of the Board. The institution which serves as the ME will have a permanent member on the Board. Board members are selected by their participating institutions on the basis of their responsibilities and their relevant expertise. They should not be chosen solely to represent their respective institutions, but to function in the objective interest of the CRSP. Host country agencies collaborating in the CRSP may also have representation on the Board. The Board operates under a defined charter to deal with policy issues, to review and pass on plans and proposed budgets, to assess progress, and to advise the ME on these and other matters. While the ME institution has the authority to make the final decisions relative to program assignments, budget allocations and authorizations, the ME must, in the collaborative spirit, carefully consider the advice and guidance of the Board and other CRSP advisory groups. Any departure from the Board's recommendations should be justified, recorded in minutes of meetings, and reported in writing by the ME.

2. Administrative Council (Institutional Representatives)

Although this is optional, a CRSP may choose to have an Administrative Council. The Administrative Council is composed of a representative designated by each of the participating U.S. institutions. The CRSP Director and USAID CTO serve as ex-officio members of the Council. The institution which serves as the ME will have a permanent member on the Council. As the title implies, the members of this group represent the interests of their respective institution. Consequently, they are selected from the higher administrative management level of the institution. This group may involve some overlap with the Board of Directors. However, the line of authority must be clearly delineated if the two bodies are chosen. In general, this group would not be concerned with those management, policy, and funding questions with which the Board deals. It would be concerned with major policy issues affecting their institutions, such as a proposal to drop an institution from the CRSP. It would also be concerned with commitments that impinge on the resources of their institutions, such as the matching question. It is important conceptually that the Council's functions be defined to constitute a fundamental group representing the institutions involved.

3. Technical Committee

A Technical Committee (TC) is established with membership drawn primarily from the principal scientists actively engaged in the work of the CRSP, known as Principal Investigators (PIs). The CRSP Director and USAID CTO serve as ex-officio member of the Technical Committee. The Committee membership will include host country scientists working on the CRSP. The TC meets from time to time to develop work plans and budgets, to review the technical progress of the total research program, or components thereof, and to propose modifications in the technical approach, and to recommend allocations of funds. The TC reports its findings in writing to the ME which will normally share them with Board of Directors, and/or the Administrative Council for further consideration.

4. External Evaluation Panel

An External Evaluation Panel (EEP) will be created for each CRSP. The responsibility of this panel will be to evaluate the status, funding, progress, plans and prospects of the research program of the CRSP and to make recommendations thereon. The panel shall consist of an adequate number of scientists to represent the major disciplines of the CRSP, normally approximately five members. The term of office needs to be long term. A five-year period is recommended for the initial panel. After the initial five-year period, original members may be rotated off on a staggered basis. Provisions should be made for replacements for lack of attendance, for resignations or for other reasons. In instances where a minor discipline is not represented on the EEP, but is needed for a specific evaluation, the Chairman may request the assistance of an external consultant from the ME.

Panel members should be senior scientists recognized by their peers and selected for their in-depth knowledge of a research discipline of the CRSP and experience in research and/or research administration. International research experience is essential. The members are selected so that collectively they can cover the substance of the CRSP, including socio-economic factors that can influence research and adoption of technology generated from research. Panel members should be drawn from the United States (some with experience in agricultural research systems of the land grant universities) and the international community, and should include at least one scientist from a developing country. While emphasis in qualifications is on scientific recognition, a practicing scientist may be preferable to a high level administrator who might lack adequate time for the in-depth involvement required. Availability to devote considerable time to these activities is an important criterion

Candidates for membership on the EEP are selected by the ME, in consultation with the Board and USAID, based on information obtained from the TC, professional societies and other sources. The ME will submit nominations through USAID to BIFAD for concurrence. BIFAD makes its recommendations to USAID which provides final approval. The appointments are made by the ME. After an EEP is established, the EEP will be consulted regarding replacements.

Annual evaluations will be made based on written reports, interviews of CRSP participants, participation in meetings, etc. An in depth evaluation with visits to overseas sites will be made once every five years as part of USAID's Five-Year Review which is described later in this document. Questions for consideration by the EEP may be proposed by the ME, the Board, TC, USAID and BIFAD in writing. The ME prepares a scope of work for the EEP with input from USAID and BIFAD. USAID provides final approval of the scope of work. The EEP will submit its report to the ME, Board and USAID which will provide copies to BIFAD.

The EEP must play a strong role in judging the balance of a CRSP and relevance of each project to the program goals. It should evaluate the performance and the productivity of each institution on each project annually, and assess the appropriateness of projected resource allocations.

The objective views and expertise of this external group is necessary to balance the sometimes conflicting but natural institutional biases that may exist in a CRSP. It is important that the ME make full use of the EEP and its recommendations. Panel members should be

invited to attend important meetings of the PIs and CRSP organizations in order to keep abreast of progress and be familiar with problems and issues. Evaluations should include periodic site visits, made on a rotational basis to each university and each participating country, particularly to prime country sites. These visits can be divided up amongst the members, permitting at least two members to work together on each site visit. There also should be adequate opportunities for interaction of the TC and Board with the EEP.

The EEP recommendations will serve as the basis for bringing about changes in CRSPs. The Board or ME may disagree with an EEP's recommendation. In such cases, the rationale and justification for such disagreement will be submitted by the ME to USAID. Copies of these documents will be made available to BIFAD and USAID for their roles in the Five-Year Review.

IV. PLANNING A CRSP

A. Priority Establishment

BIFAD and USAID are jointly responsible for preparing and keeping current a prioritized list of research needs in agriculture in developing countries. This list should be reviewed every five years and updated. The priorities would reflect needs in developing countries as determined through surveys and/or contacts with IARCs, USAID Missions, Regional Bureaus, and other international agencies. Topics suitable for CRSPs will be identified. Where there is a need for more information to determine the suitability of the CRSP mode, BIFAD and USAID may choose to have exploratory studies conducted. For those topics determined to be suitable for the CRSP mode, a CRSP planning activity will be initiated as outlined in section IV.C. below. Where an exploratory study is needed, the following process will be used.

B. Exploratory Studies

An exploratory study is indicated where reasonable doubt exists about the feasibility of a CRSP, or where additional information is needed to determine such things as sufficient U.S. university interest to commit matching requirements. Also, before proceeding to a formal planning process, the commonality of research needs over a large area of the world must be determined along with possible approaches to doing the research.

In those cases, where BIFAD recommends an exploratory study, USAID will make the decision to fund or not to fund the exploratory study. This decision will always be subject to the availability of funds as weighed against other priorities. The steps involved in selecting an entity to conduct the exploratory study will be the same as those used to select a Planning Entity as described in section IV.C.1 below.

The exploratory study may be done in a variety of ways, such as special studies or state of art reviews, professional conferences or workshops, small feasibility studies, and a canvass by BIFAD of host country and U.S. university attitudes. An exploratory study should be relatively short-term and of modest size (e.g., 3-4 months' duration and costing no more than approximately \$100,000).

If a study mode is chosen, the entity selected to do the exploratory study will make a state-of-the-art review, and a survey of developing country needs, coordinating with USAID Missions to determine or confirm the need and nature of the research required. It will then determine the appropriate method for doing the research, considering the CRSP and other modes. This will require a canvass of U.S. agricultural universities to determine their interest and willingness to commit matching resources, a measure of the potential duality of research goals (potential for contributing to developing country and U.S. agriculture). The entity will submit its report to USAID which will request a BIFAD review. BIFAD may constitute a special ad hoc Task Force to undertake the review. BIFAD will make recommendation to USAID on whether or not to proceed with the planning of a CRSP, to conduct additional studies, to use other methods for implementing research, or to forego any action.

If the subject is determined to be suitable for research using the CRSP mode, the next step will be to proceed with the planning process as described in the next section.

C. The Planning Process

I. Initiating a Planning Activity

After USAID makes the decision to fund a planning activity, the first action is to select a Planning Entity (PE). BIFAD assists and advises in the selection of a PE and in monitoring and advising in the planning Process.

The PE may be a single institution, a consortium of universities, an organization, a federal agency, a foundation, or private firm with appropriate competencies. The mode of funding, contract or grant, of the planning activity would be determined by the type of relationship desired by USAID with the PE. In case of a Federal agency, USAID would fund the other agency through a PASA/RSSA⁷ with that agency, and exercise the controls required by such agreements.

If a contract is the appropriate instrument to reflect the relationship desired with the PE, that entity will be selected and the contract executed in accordance with the requirements of federal law and regulations governing procurement of services by Government agencies.

If a grant or cooperative agreement is the appropriate instrument, the essential steps used in selecting the PE may vary, but in general the various phases would include the following steps:

- (1) A scope of work for planning the CRSP and the criteria for selection of an institution to serve as the PE will be jointly developed by USAID and BIFAD;

⁷ Participating Agency Service Agreement/Resources Support Service Agreement.

- (2) While USAID may publish in the Commerce Business Daily notice of intention to select an institution for planning for a research support grant program, such publication is not necessary. Other media for publicizing the notice to universities may be used. The notice should list the selection criteria and describe the scope of work for the planning activities; the notice should also invite institutions interested in participating in the CRSP and/or in doing the planning to attend a meeting for further instructions on Title XII on the CRSP concepts, on objectives of the program being considered, and the planning required.
- (3) USAID, with participation of BIFAD, will convene a meeting of interested parties. Interested institutions will be requested to submit an expression of interest and statement of capability. These documents will be peer reviewed by meeting participants and a list of candidates for the PE will be developed. Meeting participants will then rank the institutions interested in serving as a PE in order of preference, and the top 3 will be recommended to USAID. Other institutions interested in participating in the CRSP will also be listed with statements of their capability.
- (4) At USAID's request, BIFAD will evaluate the candidate institutions recommended to serve as the PE Entity against the selection criteria and other pertinent information. BIFAD will also evaluate the list of institutions interested in participating in the CRSP.
- (5) BIFAD will make a recommendation to USAID for its decision on the selection of a PE, stating the rationale for its recommendation. BIFAD will also make its recommendations regarding the capabilities of the institution interested in participating in the CRSP. USAID will make the final selection.

USAID, in consultation with BIFAD, will manage the planning contract or grant in such a way as to:

- (1) Maximize the opportunity for all interested institutions to be fully considered in participation and to have a voice in the planning through a peer group;
- (2) Assure objective evaluation of the qualifications of these institutions to carry out activities required by the CRSP, including the commitment of their own resources to the CRSP;
- (3) Provide for optimum contributions by the potentially-participating U.S. institutions (as well as potentially-collaborating developing country institutions) to the planning process;
- (4) Avoid organizational conflicts of interest; and

- (5) Assure compliance with affirmative action guidelines as required by Federal Regulations.

The PE will take steps to assure that all eligible universities, including the smaller and less experienced ones, and federal government agencies having scientific capacity in the problem area and interest in contributing their own resources to the program will be notified of and have an opportunity to participate in this early phase of the planning process.

Normally, the PE will have the option of later serving as a participating institution in the research program, if it meets Title XII criteria and is qualified. In case of such interest, it will be necessary to provide adequate safeguards against "organizational conflicts of interest."⁸ There may be exceptions where the PE may be excluded from participation in the CRSP by a prior decision made by USAID on BIFAD's recommendations. The planning grant or contract shall specify whether the PE is to be excluded or permitted to participate in the CRSP.

In developing a global plan for a collaborative research program the PE will:

- (1) Dialogue with BIFAD;
- (2) Dialogue with USAID, including AFS, EGAD, Global Bureau, Regional Bureaus, and Missions, to identify or confirm interested and suitable countries for potential sites;
- (3) Identify and appoint, subject to prior concurrence of BIFAD and approval of USAID, peer panel members from U.S. and international institutions interested in participating in the CRSP to assist and advise the PE;
- (4) Identify or confirm researchable constraints globally or regionally;
- (5) Select potential prime country site or sites in major ecological zones or geographic regions;
- (6) Identify interested research institutions in prime countries and determine their capabilities for participation in CRSPs;
- (7) Confirm and identify extent of interest of U.S. universities in participating in the CRSP, in contributing matching resources, and in committing scientific staff to operational assignments, both domestically and overseas;

⁸ Organizational conflicts of interest typically arise in the context of multi-phase programs in which the preliminary phase is designed to develop a work plan, specifications, a set of required capabilities or a design for the activities to be carried out in future phases of the project. An organization selected to do the planning phase of a CRSP may be subject to competing and potentially conflicting interests; (1) the contractor's obligation to perform its contract to the best of its ability and in the government's best interest; and (2) the desire to be in the best possible position to participate in follow-on activities. Moreover, "inside information" obtained in the earliest phases of the project may give it an unfair advantage over other organizations seeking to provide services for later phases of the program.

- (8) Field a team from the peer group and/or members from interested universities to visit potential prime sites and discuss the potential program;
- (9) Identify linkages and minimum roles for non-prime country sites in major ecological zones or geographic regions to form a scientific network with the prime country, or countries in each such zone or region; and
- (10) Develop a global plan, regional strategies, and tentative collaborative program for U.S. participating institutions for each prime country, and their roles in selected non-prime country sites in each major ecological zone or region.

In carrying out the above steps, attention will be given to a number of factors in arriving at a CRSP plan, which are outlined in the next section.

2. The CRSP Plan and Grant Proposal

In the initial stages of planning, the constraints and characteristics of problems to be researched in the developing countries should be identified, and the interests, resources, and research capabilities of developing country governments and their research institutions determined. USAID Regional Bureaus and Missions will be notified and offered the opportunity to participate in guiding the PE in the process.

Based on information compiled during this process, the PE should develop a general concept for a CRSP which is responsive to the needs and interests of the developing countries.

Subsequent stages of the planning process would involve confirming interests, resources and specific scientific functions to be undertaken by participating U.S. institutions. The peer panel will be useful in this respect. From repeated examination of developing country and U.S. institutions' concepts and interests, the Planning Entity will develop a more detailed proposal (or set of alternative proposals) on the appropriate technical design and components of a global plan for a CRSP.

In developing the component of research relevant in the United States, programs in the general subject matter area being conducted by U.S. universities and other institutions could be considered where appropriate linkages could be established. The amount of such research and the nature of its relationship to the CRSP should be described in the contributing institution's proposal. The program already underway at the institution might contribute indirectly to benefit the CRSP. If not federally funded, it might, with appropriate adjustment or augmentation, contribute to the matching requirement.

The Planning Entity will develop a proposal which will include the following elements:

- (1) A global plan for a collaborative research program, budgeted annually for a five-year period, with stated objectives and identification of the required technical components and their interrelationships;

- (2) Identification of the U.S. institutions best suited, by virtue of technical capability, experience, interest and commitment of their own financial resources, as determined by the peer advisory group, to undertake research on the various technical components;
- (3) A plan of work and budget for each participating institution, showing its matching commitment;
- (4) Identification of prime developing country site or sites representing major ecological zones or geographic regions where interest has been expressed and where the necessary basic collaborative research capabilities exists in the program;
- (5) A plan of work and budget for each prime country site, showing proposed resource commitments by the United States and by the host governments;
- (6) Identification of developing countries to serve as linkage or scientific network countries, with each prime country site(s) in each ecological zone or region, and a description of the program and budget for each linkage country;
- (7) On the advice of the institutions which have been tentatively selected to participate in the CRSP, identification in a peer process of interested candidate institutions to serve as the Management Entity, recommending 2 to 3 in rank order as the choice of the potential participating institutions as the best suited; and
- (8) Assurances that full consideration was given to significant involvement of minority institutions and women in the program. Special emphasis is being given by USAID and BIFAD to increase involvement of these two groups in development assistance programs. The BIFAD and SPARE, in the exercise of its responsibilities, are to be cognizant of affirmative action guidelines required by law and regulation.

The Planning Entity will submit its proposed CRSP Plan with recommended list of institutions and candidates for the Management Entity to USAID which will forward it to BIFAD for review.

BIFAD will ask SPARE to review the proposed plan. SPARE's reviews will reflect its judgment on the adequacy of the plan to fulfill CRSP objectives and on the capabilities and optimum number of universities to conduct the program. Recommendations on the institutions will give substantial weight to the evaluation of institutional capabilities by potential participating institutions in the peer process used by the PE. Also, careful consideration shall be given to SPARE's recommendation of the institution to serve as the Management Entity.

In considering institutions to participate in a CRSP or serve as the ME, members of BIFAD will disqualify themselves from participation in decisions on recommendations that directly affect the financial interests of their institutions. In making its decision, USAID will consider all aspects and implications of the BIFAD recommendations, including technical and legal

considerations and consistency with overall policy, procedures and governing Federal Regulations and Executive Directives.

Following its decision to proceed with a CRSP, USAID will select the Management Entity and instruct it to take the CRSP Plan and develop it into a proposal. USAID may agree to a "start-up" grant for funding for this activity. Upon approval of the proposal, which will be reviewed by BIFAD and submitted to USAID with BIFAD's recommendations, USAID may either modify the start-up grant to a full grant, or write an entirely new CRSP grant.

The proposal should incorporate the plan that was developed by the Planning Entity for a five-year program with annual work plans, budgets, and supporting documentation. The institutions to participate and country sites would be those recommended in the final selection process. However, if it should become necessary to drop any institution or site for budgetary or other reasons, the adjusted program should be reviewed by BIFAD. The program proposal should show linkages or cooperative arrangements with international research centers.

When the problems and priorities identified apply predominantly or wholly to a single geographic region, and the mode considered most appropriate for the research is the CRSP, a regional CRSP would be in order. The method of planning and implementing such a CRSP could follow these Guidelines. However, the management, method of backstopping, and funding would have to be decided between the specific Regional Bureau and the Global Bureau in USAID-Washington.

Formal arrangements between the ME and host governments should not be made until the grant is approved for authorized expenditures. It is not until this point that any firm commitments can be made to a country government. As there is often a considerable lapse of time between planning and grant authorization, it may be necessary for the ME to confirm interests and reassess conditions in recommended country sites.

V. IMPLEMENTATION OF CRSPS

A. Responsibilities and Roles

1. USAID

a. USAID/Washington

Normally, the Global Bureau bears the formal responsibility for generating the authorization and for funding and managing a CRSP. The Management Entity will be responsible to USAID

for all management functions as defined in the grant agreement. An oversight function is exercised by USAID which monitors and backstops the operations of the CRSP, and reviews programs/projects and budgets.

The Global and the Regional Bureaus will keep each other informed on a continuing basis regarding the progress being made on existing CRSPs, the applicability of CRSPs results to field problems, difficulties encountered by CRSPs and possible solutions to them. All Bureaus concerned will seek to encourage follow-on activities to capitalize on CRSPs results.

b. USAID Country Missions

In USAID Policy Determination 4 dated October 5, 1982, the Agency Administrator states "I expect the Missions to participate actively in the various CRSP efforts in preparing for effective host country involvement in such research and in facilitating field activities to maximize the objectives of the program."

USAID Missions should be engaged in continuing dialogue regarding any CRSP activities anticipated within that country. G/EGAD/AFS and each Management Entity will bear the responsibility to insure that this dialogue is productive. While Missions are not required to do so, it is often in their and the United States best interest to facilitate CRSPs where possible. This may extend to providing resources, financial and otherwise, and/or facilitating custom clearances, and logistics support where feasible. Coordination with Missions and establishment of relationships with USAID Mission-funded programs should be done in a manner to complement the overall goals of the CRSP and the USAID Mission in achieving U.S. development assistance goals outlined in the USAID Mission's Strategy Statement. More detailed discussion of Mission involvement will be found in Section V. D. 2.e.

2. Management Entity (ME)

The ME will be the grantee and as such will bear responsibility for the grant agreement. USAID will define the responsibilities of the ME for implementing the CRSP in accordance with Federal Regulations governing grants. Principal responsibilities normally defined for the ME are:

- (1) Develop or complete a global plan with regional strategies at the outset of the implementation phase;
- (2) Work with USAID's Global Bureau, Regional Bureaus, and USAID Missions, and with representatives of participating U.S. institutions in confirming tentative site selections and specific programs with annual work plans and budgets in each prime country or countries in each ecological zone or geographic region where the CRSP will be located;
- (3) Work with U.S. institutions in developing component projects in each prime site to form an integrated, multi-disciplinary program taking into account major constraints, including socio-economic, of the ecological zone or region for which

the country was selected. The prime site program should include institution building and training components;

- (4) Assure that baseline data is made available, either through new socioeconomic studies and policy assessments or by updating of existing studies and assessments of each prime country site for measuring future progress;
- (5) Confirm arrangements with those countries which are to serve as scientific linkages with the prime country or countries in each ecological zone or region;
- (6) Work with participating U.S. institutions to develop the research programs in the United States that are a part of the overall program in the respective ecological zones or regions;
- (7) Allocate resources for research among disciplines and the participating institutions, maintaining balance between U.S. and overseas research activities, in a manner most appropriate for cost-effective achievement of goals;
- (8) Develop a reporting and information dissemination system that will publicize and promote the use of CRSP research findings overseas and in the United States. The methods used to disseminate this information should be appropriate for the various target audiences;
- (9) Establish an effective working relationship with USAID, U.S. institutions, international centers and agencies as well as with host country institutions;
- (10) Coordinate and provide creative leadership and direction to planning and implementation of the CRSP, especially its overseas components;
- (11) Represent the CRSP in specific official contacts within the United States and abroad, dealing with USAID and BIFAD;
- (12) Administer in both fiscal and programmatic terms the research program under the programmatic guidance of the Board of Directors and the administrative authorization of the ME institution;
- (13) Take measures to have the CRSP structure established as outlined in preceding sections, assuring that functions are described, the charter is established, and by-laws written, in accordance with provisions of the grant document;
- (14) Organize the ME staff to serve as secretariat for these bodies, with minutes to be taken and recorded;
- (15) Based on recommendations of the TC, participating institutions, and other sources and on the advice of the BOD, the ME will submit nominations for EEP members to

USAID and obtain concurrence of nominations from BIFAD and approval from USAID;

- (16) Describe functions for a strong role for the EEP and the manner for its operation, with schedules to keep it informed and to facilitate its work, assuring a thorough evaluation and report annually, with institutional and country site visits on a rotational basis;
- (17) In coordination with the participating U.S. institutions, prepare, manage, and evaluate annual budgets and work plans for research and training;
- (18) Develop subgrant agreements with participating institutions and subcontracts with other sources when particular expertise is not available within CRSP member institutions;
- (19) Establish a system for advanced planning and control of travel, and utilize the control systems available to participating institutions;
- (20) Arrange for meetings among personnel of CRSP institutions and host countries as necessary with due consideration of cost factors;
- (21) Establish a system of communication with participating U.S. institutions to involve deans, department heads, directors international programs and experiment stations in the CRSP to inform them about the program, its progress and problems. This is to intended to integrate the CRSP with related research and educational activities of those institution;
- (22) Prepare and submit annual and other reports to USAID/Washington in a timely manner as required in the grant document.

3. Participating U.S. Institutions

U.S. institutions, including Federal agencies participating in the CRSP may be funded, according to agreed plans, directly by the Management Entity through sub-grants. USAID policies on cost sharing are summarized in ADS 303. 5. 10.

Participating U.S. institutions shall:

- (1) Assist the ME in finalizing the original global program plan and specific prime country sites program, as well as establishing zonal country linkages; and assist in updating these plans and developing annual work plans and budgets;
- (2) Help establish lines of communications within the institution to keep all interested parties informed, and to assist in developing a cooperative relationship with the ME;

- (3) Carry out CRSP activities as stipulated in the subgrant agreement;
- (4) Provide workplans, budgets, reports and other inputs on a timely basis as required by the CRSP;
- (5) Budget USAID Federal funds, and show a minimum 25 percent contribution in non-Federal resources (in kind or in cash), excluding those Federal funds in the exempt category as defined elsewhere (Section V. D. 2.c.);
- (6) Expend funds and manage personnel in keeping with the standard policies of the participating institutions except that if such policies conflict with the subgrant agreement, the latter shall prevail;
- (7) Respond to audit requirements which will be conducted by U.S. Government audit agencies upon request of the USAID (the ME does not conduct audits required by the government);
- (8) Provide a long-term institutional commitment to the CRSP and designate an institutional representative who shall be an essential link in the communication chain relative to approvals of plans and budgets and changes in same. The institutional representative will be charged with monitoring the overall institution's posture relative to the CRSP, keeping interested parties informed on the CRSP, and participating in decisions to increase or decrease, add or delete institutional components over time in keeping with decisions of the ME, which will normally be based on recommendations of the EEP;
- (9) As its contribution to an integrated multi-disciplinary team effort, maintain a long-term collaborative relationship with prime site institutions and a long-term commitment for supporting research at those institutions;
- (10) Maintain an appropriate balance between research overseas and research in the United States⁹;
- (11) Cooperate with the ME on efforts to establish forward travel plans and a control system on travel by encouraging such a system in the institution;
- (12) Cooperate with the ME in establishing as appropriate and feasible scientific network linking country sites;
- (13) Assist the ME in developing and implementing a degree training program for candidates from the prime country site to help fill the needs of institutional development programs in prime country sites, and in linkage country sites where relevant and suitable to priorities; and

⁹ The Title XII legislation mandates that most of the research will be done overseas where possible; USAID has tended to accept a 50-50 or 60-40 ratio of U.S. expenditures for research in the United States versus research expenditures overseas. Cost of training host-country researchers in the United States would be classified as an overseas expenditure.

(14) Participate in reporting and publication on progress and results.

If the need for the addition, deletion, or substitution of an institution in a CRSP is identified or recognized, the ME shall solicit the recommendations of the TC, BOD, and the EEP as the basis of its recommendation to BIFAD. BIFAD will report its conclusions and recommendation to USAID for a decision. If the subject institution objects to the action, it may appeal its case to BIFAD which would make its recommendations to USAID for a final decision.

4. Participating Developing Country Institutions

The subgrant will define the program and specify commitments of the parties to the subgrant, over a projected five-year period. It will also specify relationships of the host country institutions to the CRSP and define the involvement and appropriate relationships with the various institutions within the host government. The subgrant will state requirements for annual work plans and budgets, which will be in separate documents. The subgrant will specify the organization or institution of the host government with which the CRSP will work, but the details, such as work sites, the training program, travel, and other activities, will be described in the annual and five-year work plan.

It is important that government commitments in terms of logistic support, facilities, and personnel, be described in the subgrant, including housing, office space, transport, custom clearance procedures, and import privileges. The country's research goals should be stated.

Developing country institutions must be prepared to account, maintain records and be subject to audits in accordance to applicable USAID policies as specified in the subgrant.

5. BIFAD and SPARE

BIFAD will work closely with USAID in providing oversight to CRSPs and when necessary will establish SPARE working groups to review the evaluation team recommendations and specific CRSP projects. A member of BIFAD will chair the working group. Matters of policy, budget, program implementation and other issues of substance will be the subject of reviews from SPARE to BIFAD and recommendations from BIFAD to USAID. BIFAD will endeavor to insure that the best input possible is available to CRSP efforts from the university community.

BIFAD will meet once a year with the CRSP Council to discuss progress, interaction with missions, funding, and upcoming reviews.

In official reviews, such as Five-Year Reviews of CRSPs for extending authorizations and grants, SPARE will participate in the review and will report to BIFAD which will make recommendations to USAID.

The BIFAD will participate with and advise the Agency on relationships between the International Agricultural Research Centers and CRSPs.

B. Organizing U.S. and Developing Country Components of Collaborative Programs

1. Grant Agreement

The grant agreement will be between USAID and the ME. This document is the official legal basis for the operation of a CRSP and it may not be contravened in any manner by any of the parties short of an official grant agreement modification acceptable to the signators. USAID grant agreements include standard U.S. Government provisions.

The Management Entity has the prime responsibility for assuring institutional compliance with the Grant Agreement. The ME should look to the USAID CTO for assistance in obtaining clarifications of, and necessary waivers to, conditions with appropriate documentation to the USAID Agreement Officer in the Office of Procurement.

2. Subgrant Agreement with Participating U.S. Institutions

Subgrant agreements will be negotiated by the ME with participating U.S. institutions to define, authorize and fund the work to be done under the CRSP. The subagreements shall incorporate, by reference or otherwise, the substance of the grant agreement. From time-to-time sub-agreements will be modified to incorporate updated work plans, budgets and conditions.

3. Organizational Structure of Participating U.S. Institutions

The manner in which participating U.S. institutions may be organized within a CRSP is described in Section III C of these guidelines.

4. Reconfirming or Selecting Prime Developing Country Sites and Institutions

In the model recommended, the following criteria are appropriate for selection of the prime country site(s) in each major ecological zone or geographic region where principal multi-disciplinary research is to be undertaken:

- (1) The crop, livestock, fishery, or other resources to be investigated are major sources of food and income, or the other factor(s) to be researched relate importantly to agricultural or fishery production in the prime country;
- (2) The prime country site is representative of the ecological zone, or geographic region of the commodity, fisheries, or other resources; the prime country site could serve as the activating nucleus of a scientific network for technology transfer and exchange, depending on the commodity or condition to be investigated; the zone or region may include a number of countries less advantageously equipped to support viable research programs;
- (3) The host-country government is interested in participating in the CRSP and is willing to make adequate commitments to support the research and assist the neighboring network countries;

- (4) There exists in the country the basic institutional research capacity needed to make collaborative research viable. This capacity would be found in the appropriate government ministry or other government agency responsible for research, and in the national research stations and research systems for agriculture, fisheries, or other resources which the agency or ministry supervises. The institutional research capacity might also exist at an agricultural university which has responsibility for research in areas related to the CRSP activities;
- (5) Host-country government policies are supportive of agricultural research, extension and production; and
- (6) There is reasonable assurance of political and economic stability and ability to sustain a viable research program.

At least one prime country will be selected to represent a major ecological zone or geographic region. The strategy should be to concentrate adequate scientific and other resources in that country to assure a reasonable opportunity for positive impact from research (and training) on production and consumption of the food or food products related to the research. While a prime country site would be selected because of its institutional competence, institutional capacity development would be expected to result from the CRSP. This should be expected to take place within a reasonable time frame. A prime country must play an important role with the CRSP in developing the scientific network with neighboring countries in its ecological zone or region. A long-term relationship should be developed between the prime country and U.S. institutions as well as other collaborating institutions which could survive the life of the CRSP.

The ME has the principal responsibility for establishing prime country sites, developing the country research program and negotiating the MOU with the host governments and its institution. However, this can only be done in cooperation with representatives of the participating U.S. institutions.

5. Other Scientific Linkages - International Network

The primary CRSP linkages should be formed between prime country sites, where efforts are concentrated, and other countries within the major ecological zone or geographic region where some CRSP activity is developed, as described in the preceding sections. The prime sites should become the major hubs for institutional linkages with neighboring countries in each major ecological zone or region where the CRSP is functioning. The extent and feasibility of such linkages will depend on the available funds above the requirements for prime country sites, which will have priority.

USAID non-presence and graduate countries¹⁰ are eligible to be prime country sites or to serve as scientific linkage sites. As an example, Mexico and Brazil, which are graduate countries, serve as a focal point for certain regional economic activities in Central and South America. Both countries are current prime sites for some CRSPs, and also serve as scientific linkage countries for others. The advantages they offer to CRSPs in cost-effectiveness, research institutional capabilities, and in serving as leaders in their zones are obvious. The CRSPs' goal for involvement with graduate countries must be to utilize their institutional research capability for benefiting a larger ecological zone or region, rather than in assisting these countries.

Since the IARCs have interests and goals that are common with many of the CRSPs, and since USAID provides a substantial percent of their core budgets, it is important and in the United States' interest that, where appropriate, the ME should develop cooperative and collaborative relations with IARCs. MOUs between CRSPs and IARCs should be utilized to formalize relationships and to promote understanding and coordination. In some situations where there is special funding, joint projects may be feasible. These will require preparation of a joint program proposal outlining the functions of each institution in the project and the amount of funding for each. The goal is to achieve complementarity and maximize the comparative advantages of each party.

There may be cases in which a CRSP may need to access resources in a developed country other than the United States. This need should comply with USAID source-origin regulations. This can be done on a scientific and cooperative basis for mutual purposes. CRSPs offer excellent opportunity for contributing to and stimulating such international cooperation in scientific research.

C. Program of Work

1. Initial Five-Year Plan

The initial five-year plan is adjusted and rolled forward in annual workplans.

2. Annual Research Work Plan

In response to a request from the ME, each participating institution prepares an annual research work plan and budget in a five-year, forward-rolling program plan. The development of an institution's annual plan of work and budget will coincide with the development of annual work plans for each prime country site.

3. Host-County Institution Building and Training

While the major thrust of the CRSPs is to find solutions to priority problems through research, a concomitant objective is to strengthen the research capability of host-countries so that

¹⁰ A USAID "graduate country" is one which USAID previously assisted and which has progressed sufficiently in development that USAID has ceased to furnish bilateral assistance to the country.

they can increasingly carry out independent research and help their neighbors. The institutional building component is a natural part of the research activities of the CRSPs. Most of the training will be degree training, especially graduate training at participating U.S. institutions. Also, research assistants are trained locally in research operations.

4. U.S. Graduate Students

U.S. graduate students may be employed on CRSP projects at U.S. or overseas sites as research assistants where the employment is necessary for fulfillment of CRSP goals. Their employment can follow conventional practices of U.S. universities under the Hatch Act system, and U.S. institutional guidelines on compensation should apply as long as the employment and the compensation are not in conflict with the USAID grant agreement. A bonus in this system is that some U.S. students will be introduced to the international dimension of research and may in due course choose international work as a career.

Assignment of U.S. graduate students as research assistants overseas is subject to host country approval. Such assignments must be under the close supervision of a senior U.S. scientist, with some on-site direction, especially during the initial period of the assignment. Graduate student assignments could include thesis research on a CRSP project when this fits into the CRSP and host country goals and objectives. In all cases the needs of the CRSP research component would be the determining factor rather than the need of the student to complete a thesis.

While such junior personnel as graduate assistants can be used effectively in CRSPs under proper supervision, developing countries and USAID expect that the universities will make major use of their senior professionals in carrying out CRSP activities in developing country sites.

D. Budgeting: Financial and Programmatic Management and Control System

I. General

CRSP grants will be initially approved for periods of five years. While each CRSP will be evaluated annually, the major USAID review will be done during the third year of operation of a new CRSP and every five years thereafter. This is the Five-Year Review which is discussed later in these guidelines. Upon receiving a favorable Five-Year Review, the CRSP will be asked to submit a five-year continuation proposal which will be reviewed by BIFAD with assistance from SPARE. In the event that BIFAD recommends to USAID that the CRSP be extended to implement activities included in the continuation proposal, the CRSP's authorization will be extended for five years. A firm commitment of future funding by USAID for a minimum of five years is necessary to provide assurance to participating universities that they can plan and budget university resources according to university regulations and planning requirements.

Each participating institution shall be responsible for management of its own approved CRSP budget in accordance with the grant, subgrant and standard provisions. Carryover of funds from

one year to the next is permitted at the institutional level. The ME will consider any unmet responsibilities and the workload of the institution for the year ahead.

The ME is allowed to include in its budget those sums that are to be expended for purchase of commodities and services for application to overseas sites.

2. Program and Fiscal Management and Accountability

a. ME Responsibility and Fiscal Accountability

The ME institution is responsible for the successful implementation of the program and is accountable to USAID for the use of federal funds under the grant. The following are the guiding principles:

- (1) The progress of each participating institutions will be evaluated annually by the EEP with in-depth evaluations every five years;
- (2) Annual progress reports on each project will be submitted to the ME by the cooperating institutions for review by the EEP and USAID;
- (3) Expenditures will be subject to federal audit in accordance with applicable regulations including OMB Circular A-133.
- (4) USAID monitors all aspects of a CRSP and may require such reports as deemed necessary within USAID regulations and required in the grant documents.
- (5) The recipients of all research contracts, grants and cooperative agreements must comply with Agency patent invention disclosure and patent reporting requirements, as required by the Bayh-Dole Act (codified in 37 CFR 401), and included in USAID's standard provisions. As a dependent sub-committee of an advisory group at USAID, SPARE will comply with those provisions.

b. Use of Funds

In compliance with standard provisions of the grant agreement, CRSP funds from both university and USAID sources may be used for approved CRSP activities such as:

- (1) U.S. based research programs that directly and significantly contributing to the solution of developing country problems;
- (2) Planning and organizational costs which are necessary to carry out the research program;
- (3) Overseas research activities of U.S. institutional employees, including graduate students, working on approved collaborative research programs;

- (4) Research arrangements between management entities and eligible universities and collaborating developing country institutions or individuals, and for conducting research on developing country farm situations to test validity, relevance and applicability of findings;
- (5) Supporting developing country and U.S. graduate students;
- (6) The development and operation of research information exchange systems including conferences, data storage and retrieval systems, publications, materials exchanges, professional exchange arrangements and any other arrangements necessary to the execution of problem-solving activities;
- (7) Special CRSP activities in joint projects with international agricultural research centers, NGOs and the private sector;
- (8) Contracts for limited technical service components required may be funded under a CRSP where such service is appropriate to CRSP research goals. Technical services contracts not related to the CRSP research goals should not be included in CRSP grant activities;
- (9) Indirect costs based on negotiated rates established by the cognizant federal agency; and
- (10) Such other functions as are essential to the effective conduct of approved collaborative research programs.

c. Matching Requirements

Because the pursuit of CRSP research goals is intended to mutually benefit the interest of U.S. universities in improving U.S. agricultural and economic development as well as USAID's interest in providing foreign assistance, each CRSP is required to match, with non-federal resources (in cash or in kind), twenty-five percent of the federal funds provided by USAID. With this mutuality of interest, each university should plan its participation in the CRSP to fit its domestic goals as well as those of USAID.

Costs of any of the items listed in 22 CFR 226.23 may be considered for matching contributions. The twenty-five percent non-federal financial participation is a general guideline that would apply to most CRSPs. Exception in specific cases where this might be unrealistic or inappropriate may be considered jointly by BIFAD and USAID, if the element of collaboration is substantial and apparent. Within a CRSP, it is not necessary that the federal cost of every institution or cost 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 twenty-five percent requirement. A participating federal agency is not required to match USAID funds.

In addition, many U.S. universities and other institutions are conducting large research programs in the general subject matter area of a CRSP which, while not specifically a part of the CRSP, have the potential, if appropriate linkages are established, to advance substantially the achievement of the CRSP objectives. The amount of such research and the nature of its relationship to, and planned linkages with, the CRSP should be described in the contributing institution's proposal in a manner that makes it clear that, unlike the direct contribution to the CRSP, this is not a legal commitment and is not subject to federal audit as part of the CRSP.

The following costs in a CRSP effort are excluded from the matching requirement:

- (1) Cost to operate the ME;
- (2) Funds committed under the terms of a formal CRSP host country sub-agreement, including funds for facilities, host country personnel services, and equipment and commodity purchases by a participating U.S. institution for use by a host country entity or by the U.S. institution in a host country. Funds for these costs may be held apart in reserve by the participating U.S. institution until expended directly to a vendor for the goods and services described. Also, the funds may be passed to the host country for its purchases and use in accordance with the agreement;
- (3) Costs for training of participants as defined in ADS 253. Provisions for such training normally would be made in the formal sub-agreement;
- (4) Hospital and medical costs of U.S. personnel of the CRSP while serving overseas.¹¹

All USAID financed costs borne by USAID that are associated with the performance of employees of participating U.S. institutions, working in the United States and in the developing countries on both short and long-term assignments, where federally funded under the CRSP, are program costs of the CRSP and must be matched.

d. Use of Non-Title XII Institutions

There may be times when there is a need for a type of expertise that is not available among the CRSP institutions or other Title XII institutions, but is available in a non-Title XII institution. The ME is authorized to subgrant with the non-eligible institution to obtain such expertise. In such cases the contracting institution may participate in the governance of the CRSP, as do sub-grantees. However, USAID funds expended for services of such a non-Title XII, non-eligible institution would have to be matched, and such an institution is required to participate in providing the required matching funds. Such an institution may volunteer to fill the matching requirement in total, but unless it does volunteer to provide the total matching funds (and this must not be a condition for their services) the CRSP organization should provide the matching requirements.

¹¹ Participating institutions should carry their own medical insurance for their personnel, and participants need to be insured in accordance with applicable provisions.

e. USAID Mission Participation in CRSPs and Joint Programs between CRSPs and International Agricultural Research Centers

Some missions have contributed funds to extended activities of CRSPs. Where a USAID Mission is interested in some CRSP research component that is being done in that country and the Management Entity of the CRSP agrees that such research effort is related to the CRSP research objectives and activities and can be conducted by the CRSP, the USAID Mission would discuss with the Management Entity the type, amount, and method of support that the Mission wishes to provide for that CRSP in the country.

Such arrangements permit opportunities for expanding and accelerating CRSP activities as long as the participation relates to the objective of the CRSP, is an appropriate grant activity, and these activities do not impede the achievement of the CRSP objectives.

Missions may decide to undertake stand alone grants, or may request that the USAID/W grant be amended to expand activities to cover the missions desired program. Determination of which avenue will be pursued, and requirements for each will be addressed collectively by the USAID/W Agreement Officer(s) and CTO(s).

Missions sometimes provide informal local services to a CRSP to facilitate its operation in the country. While this is encouraged when appropriate, it is not a requirement under the CRSP agreements.

USAID Missions are also authorized to issue grants, cooperative agreements, and contracts using established authority delegated to them. Separate grants, cooperative agreements, and contracts, which are not a part of the CRSP agreement, can always be made to participating institutions, including the Management Entity.

Separate grants and cooperative agreements are negotiated directly by the Mission under USAID's standard grant regulations. The terms of these grants, including matching requirements, are negotiable with the Mission. This approach is workable within the CRSP so long as it suits the research goals of the CRSP and there is agreement within the CRSP structure of participating institutions, and within USAID-Washington's Global Bureau which has primary management responsibility for the USAID CRSP grant program.

Contracting regulations (Parts 6 and 35 of the FAR) make it possible for USAID Missions to award research and development contracts non-competitively. These awards must be directly associated with CRSP research goals and activities, and meet the criteria set forth in the contracting regulations for noncompetitive contract awards. These awards are justified and negotiated by the USAID Mission involved, and would be appropriate when the USAID requires a contractual arrangement in lieu of a grant or cooperative agreement, arrangement.

CRSPs also are beginning to develop joint projects with the International Agriculture Research Centers under separate USAID Regional Bureau and USAID Mission funding. One model that is being used for funding is for USAID to make a grant to the center for

implementation of a program under a joint agreement between the center and a CRSP. Provisions are made in the grant for a subgrant from the center to the CRSP. Other possible funding mechanisms may be possible.

Joint projects with IARC's have the advantage of pooling international scientific resources on a common problem where the comparative advantage of each party can be utilized to the fullest. For example, U.S. institutions can provide academic training and the more basic backup biological, genetic, and other research requiring sophisticated laboratories and staff which are more limited in most centers than in universities.

E. Reviews and Evaluations

1. Internal Reviews

The ME is expected to develop procedures with the TC and Board for appropriate internal reviews for a given CRSP, utilizing reports of the EEP. These reviews are not to replace EEP evaluations, but should review these evaluations in terms of impact on the program and on institutional involvement. For the purpose of such internal reviews, the ME may assemble the PIs and host country representatives.

2. External Evaluations

The external evaluations of CRSPs, mentioned in other sections of this document, are repeated under this heading to facilitate use of the Guidelines. The external evaluation by the EEP is critical to the CRSP operations to assure objectivity in decision making on important and sometimes difficult institutional issues. A scope of work and set of criteria should be developed for the EEP by the ME in consultation with the Board of Directors and USAID. The scope of work is approved by USAID.

Principal purposes of the evaluation are to:

- (1) Maintain programmatic focus and effective scientific balance of research toward achievement of objectives;
- (2) Identify inadequate performances;
- (3) Identify irrelevant, marginal activities to CRSP objectives;
- (4) Consider effective balance between research and training for development of institutional research capability;
- (5) Assess the balance of domestic versus overseas research in terms of effectiveness of solving constraints in developing countries;

- (6) Evaluate the cost-effectiveness of the entire CRSP operation in terms of actual cost of doing business versus costs of alternatives that may be less, more efficient, and more effective; and
- (7) Examine ways of dissemination of research results, and the effectiveness of utilization, a measure of the appropriateness of the research;

Some evaluation needs to be made at least annually, although components of an evaluation may be on-going throughout the year. In-depth evaluations with overseas and U.S. site visits should be made in the third year of a five-year grant/extension in preparation for the next extension.

The ME in consultation with collaborating institutions and the EEP will develop a working schedule for the EEP for comprehensive annual reviews. In order for the EEP to have the optimum effectiveness, its members should be able to have contact with PIs and other CRSP personnel at meetings where technical reports and discussions are made.

The annual report of the EEP is submitted to the ME who in turn provides copies to USAID and BIFAD. Actions on the EEP's recommendations are considered by the Board, TC, and ME, which makes the final decision. Any decision contrary to the EEP recommendations should be justified in writing to the Board and reported by the ME to USAID, and BIFAD.

3. Five-Year Review Process

While elements of this section are covered elsewhere, the process for the Five-Year Review is specific and requires separate coverage despite the necessity for some repetition in these Guidelines. Each CRSP will be subject to a Five-Year review, which will be scheduled by USAID. The purpose of the Five-Year Review is to determine whether extension for a CRSP is to be authorized for an additional five years, and to make administrative decisions regarding amounts of forward funding. USAID will prepare such a schedule in consultation with the ME of each CRSP.

These reviews will consist of a technical review by the EEP, as described in the previous section and an administrative management review by USAID. USAID's Administrative Management Review will utilize the EEP review if there has been one. The EEP will make a special evaluation for the Five-Year Review, and will schedule its evaluation to coincide with the Five-Year Review. Therefore, the EEP's evaluation for this exercise will be in much greater depth as the Agency and BIFAD will depend heavily on the EEP's evaluation for reaching a decision for the Agency to extend or not to extend the CRSP for additional years.

In preparation for a Five-Year Review, USAID will query each Mission involved in the CRSP and through the Missions query host country and other involved in-country agencies on the performance and potential for the CRSP. Missions will be asked to quantify inputs they would like to make to the future operation of the CRSP. Members of USAID's Agricultural Sector Council and of the BIFAD Staff will be invited to comment. From responses obtained

and other information USAID will prepare a scope of work for USAID's administrative management review, which outlines issues and problems to be covered.

The ME will make preparations for USAID's Five-Year Review by preparing appropriate reports on progress and documents on issues to be addressed and will make EEP annual reports available. The ME will submit issues and problems on behalf of the program to the USAID CTO.

USAID's report on its administrative management review will be submitted to the ME which will use the recommendations to adjust the program and the CRSP proposal to be submitted to USAID for the five year extension of the grant or follow-on award.

The ME will develop a proposal for a five-year extension of the CRSP grant, based on technical recommendations of the EEP, the TC and Board, and the administrative management recommendations of USAID. The proposal will include:

- (1) Executive Summary for the total program; including progress on removing defined constraints, a brief statement on each subgrant, including progress by each one and proposed activities overall and for each subgrant.
- (2) A five-year Forward-Rolling Program Plan with annual work plans and budgets;
- (3) Subgrant activities including general progress on objectives for prior activities and a more detailed statement on the most recent four years along with a plan of action for projected activities.
- (4) Success stories, linkages established, and specific activities in developing countries. Documenting quantitative and qualitative benefits to U.S. agriculture, as well as to developing countries, are of particular interest to USAID and BIFAD.
- (5) Management Entity activities including management procedures employed and activities not adequately described in subgrant reports. Responses to EEP recommendations should be shown.
- (6) Summary Budgets on SF 424 - actual or projected yearly budgets from inception through the year of proposed extension, with a five-year forward horizon, shall be submitted for each subgrant, for the ME and for any other sub-grants and subcontracts not otherwise covered. These shall be presented according to categories listed on SF 424. USAID grant document contributions, participating institutions contributions, developing country contributions shall be shown in separate columns. The USAID Agreement Officer and CTO can provide advice on SF 424.
- (7) A summary report will be prepared and presented by the ME, covering all the recommendations made by the EEP during the three previous years, the actions and

decisions made, and justification of the ME's failure to take action, or its decision to take contrary actions.

At USAID's request, BIFAD will convene SPARE in Washington to review the ME's proposal for extension and to make a report to BIFAD which makes its recommendation to USAID. The ME will present the proposal for extension for review and discuss at that meeting.

If BIFAD recommends that the CRSP be extended, the extension or follow-on award is negotiated with the USAID Agreement Officer.

4. In-country Advisory Committees

While the model of in-country coordinating committees may not be necessary for all circumstances, it has been used effectively by at least one CRSP and is worthy of use by other CRSPs in appropriate situations. The concept is the creation and use of an in-country committee that consists of representatives from various interested international assistance organizations, such as FAO and the World Bank, and the host government, USAID Representative, and CRSP personnel. The committee performs a variety of functions, including advance review and endorsement of research plans, of training programs for host country personnel, travel plans, and other relevant programs. The committees also discuss new technology being generated, means of spreading this technology, and means of coordinating other donor activities with the CRSP.

F. Travel

1. General

Inherent in the CRSP structure is the necessity for frequent and extensive travel both domestically and internationally. In recognition of the expense of travel and of the general desire to constrain travel costs supported by the U.S. Government, it is imperative that travel be limited to that which is demonstrably essential to the CRSP effort. All travel should be regulated in accordance with applicable OMB cost principles and the USAID standard provision entitled "International Air Travel or Transportation".

In order to make travel manageable, the ME in cooperation with other CRSP entities should plan to the extent possible in the initial budget submission, and/or annual workplans, the number of trips, the number of individuals per trip and the destination country(ies). While the ME can exercise ultimate decisions, participation of the administrative management staff in each institution, such as deans and department heads, in the planning and control process can facilitate in the management problem.

The ME should also develop and issue criteria for travel. For example, the use of invitational travel for personnel of international centers and other organizations funded by USAID would not normally be a practice of a CRSP.

2. Notifications

Notification for international travel not included in the above budget process shall be undertaken as indicated in the International Travel and Transportation provision. Block approvals and innovative communication procedures to facilitate authorizations are encouraged.

3. Reports

The ME is required to prepare and submit annual reports to USAID. The ME, in turn requires such reports from participating institutions and from the EEP. Separate travel reports are not required.

VI. CRSP OUTPUTS

A. General

The ultimate goal of CRSP's is to increase production and improve consumption of food in developing countries. The prime objective of CRSPs is to generate the technology applicable to the developing countries to make this possible. A corollary to this objective is to improve research institutional capability in prime and other countries where research is conducted so that they can ultimately operate independently and play lead roles in spreading technology in their respective ecological zones and geographic regions. A spin-off in the dual objectives of the CRSPs is the benefit to U.S. agriculture, which is the reason that U.S. universities contribute their resources.

B. Extending the Results of CRSPs

While the CRSP effort itself is not the principal vehicle to extend research results, it can and should establish scientific linkages and disseminate information to facilitate extension. Each CRSP effort should include a component to demonstrate on a research pilot basis the applicability of results obtained. Furthermore, CRSP personnel should continue to manage research results until they can be passed along to an agency suitable for extending them. This may be accommodated through workshops, conferences, linkages with international centers, publications, and through U.S. institutional programs. Application of results, whether facilitated through technical assistance, ministries, cooperative extension services, or other means should be visualized as taking place in the LDC where the results were generated, in other appropriate LDCs and in the U.S., as appropriate. On an international basis, the establishment of scientific network of cooperating countries and international centers can be an effective method of getting the technology out of the prime countries and into use in other countries.

C. Overseas Operations

1. USAID Missions

The importance of Mission involvement and participation to the success of CRSPs is defined elsewhere in this document. As a point of emphasis, the role of the ME in keeping Missions informed about CRSP efforts will be continuous in view of the continual changes that take place in Mission personnel and the need to keep Missions informed and involved to gain and retain their support.