



**GLOBAL LIVESTOCK COLLABORATIVE RESEARCH SUPPORT PROGRAM**  
**POLICIES AND PROCEDURES**

***PURPOSE AND AUTHORITY OF THE POLICY AND OPERATING PROCEDURES***

*The purpose of the Policy and Operating Procedures is to provide a clear description of management procedures to participants of the Global Livestock Collaborative Research Support Program (GL-CRSP). Authority for Policy and Operating Procedures for the GL-CRSP is contained in Grant No. PCE-G-00-98-00036-00 from USAID to the GL-CRSP Management Entity at the University of California Davis. This grant authorizes the GL-CRSP from 1 October 1998 to 30 September 2008. In addition, CRSP operations are governed by the BIFAD Guidelines for CRSPs.*

*Policy and operating procedures will be updated on an as-needed basis over the course of the grant in order to inform CRSP participants of changes that impact project management, such as new USAID policies or altered special or standard provisions. In the case of discrepancies between the Policy and Operating Procedures and the Grant, the Grant document takes precedence.*

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## DESIGN OF COLLABORATIVE RESEARCH SUPPORT PROGRAMS

**T**itle XII of PL 94-161, *Famine Prevention and Freedom From Hunger*, enacted by Congress in 1975 called for the United States Agency for International Development (USAID) to strengthen and utilize the resources of the U.S. land grant colleges and universities in combating world hunger. This same Act created the Board for Food and International Agricultural Development (BIFAD). BIFAD working with USAID designed what is now known as the Collaborative Research Support Programs (CRSPs). The first eight CRSPs were commodity oriented, e.g, small ruminants, bean and cowpeas, sorghum millet, etc. There has been a gradual shift in CRSP design to include a more problem oriented focus, e.g., sustainable agriculture, pest management, policy, etc.

In October 2000, Title XII was reauthorized, enabling the continuation of long-term collaborative university research programs as one of several categories of U.S. university research efforts helping “to achieve the mutual goals among nations of ensuring food security, human health, agricultural growth, trade expansion, and the wise and sustainable use of natural resources.”

In recognition of the growing complexity of agricultural activities globally, the amended Title XII legislation broadened the definition of agriculture to include:

*“...the science and practice of activity related to food, feed, and fiber production, processing, marketing, distribution, utilization, and trade, and also includes family and consumer sciences, nutrition, food science and engineering,*

*agricultural economics and other social sciences, forestry, wildlife, fisheries, aquaculture, floriculture, veterinary medicine, and other environmental and natural resources sciences.”*

### ***From the Small Ruminant CRSP to the Global Livestock CRSP***

In 1977, USAID contracted with Research Triangle Institute (RTI) in North Carolina to issue a call for research proposals for small ruminants, evaluate the proposals and make recommendations to USAID for awards. In 1978, University of California, Davis (UCD) was one of twelve institutions selected for the Small Ruminant CRSP, and through the efforts of the former Dean of Graduate Studies and Research, Allen G. Marr, UC Davis became the Management Entity.

In 1978, UC Davis received a two-year planning grant to launch the Small Ruminant CRSP (SR-CRSP). In 1980, UC Davis received a five-year, \$20 million research grant to work in five countries and fund seventeen projects plus the Management Entity. The SR-CRSP organization followed the model outlined in the *CRSP Guidelines*. However, over time it became increasingly more difficult to manage and make timely decisions as well as support the cost of such a large administrative structure.

By 1994, funding had reached an all time low of \$900,000; the SR-CRSP was operating in three countries and trying to sustain seven severely under-funded projects. In 1995, the Small Ruminant CRSP began a major restructuring of the program in response to USAID’s own reengineering efforts and

the changing needs of the international development community. The process, a comprehensive planning and assessment procedure, was designed to be problem-driven and produce results-oriented projects.

The re-engineering process resulted in a more efficient and effective program. The program was expanded to address important topics in the international livestock development sector and to be regionally based. The Global Livestock CRSP was formally established in 1998 through a five-year grant to the University of California, Davis. The program operates in Africa, Central Asia and Latin America. A five-year extension was granted in 2003 and the current grant ends September 30, 2008.

### ***The CRSP Model***

The CRSP design uses the U.S. academic model to combine research and training in a problem-solving approach through collaborative partnerships. Such an approach generates knowledge for better and more effective development and builds human and institutional capacity so that countries develop the ability to solve problems themselves. The CRSPs have the dual goal of improving agriculture both in developing countries and the United States. Resources are contributed to the program by U.S., international and host country institutions. Using this model, the CRSPs fill a unique and important niche in USAID's portfolio.

The Joint Committee on Agricultural Research and Development (JCARD), a subcommittee of BIFAD, developed a set of guidelines for organizing and operating CRSPs known as *CRSP Guidelines* formally published in 1980. These *Guidelines* originally were offered as a model for institutions to use in setting up a new CRSP. Revised in 2004, the *Guidelines* continue to be advisory and are based on nearly thirty years of experience with CRSP management.

As outlined in the *CRSP Guidelines*, the CRSPs are defined by a constellation of characteristics:

1. They are coordinated, multi-disciplinary research programs that are collaboratively developed and cooperatively implemented, with shared responsibilities between U.S. and host country institutions and scientists. CRSP goals are consistent with the goals of USAID to support economic growth and to reduce poverty through the generation of knowledge and technologies important to the development of agriculture and natural resources of developing and transition countries, while also contributing to the improvement of agriculture in the U.S.
2. They are long-term activities, funded through grants or cooperative agreements, which, to the maximum extent possible, should "be carried out within the developing countries and transition countries comprising newly emerging democracies and new liberalized economies."
3. They develop the human and institutional capability of research organizations in the countries where CRSP activities are located. The institutional relationships established between CRSPs and host country institutions are intended to be enduring and to transcend the life of the CRSP.
4. They address human capacity development, and, in addition to using research projects as a vehicle for this capacity development, they may accommodate training needs through graduate degree programs, research assistantships, and workshops for candidates of the countries in which the CRSP is operating.
5. They employ a "program approach" in their research design and implementation, working collaboratively among several institutions in the U.S. and overseas, drawing on the expertise of several disciplines to solve identified constraints to agricultural problems.

6. They follow a “global plan” of research goals and strategies to reach them. Research proposals are selected in open competition according to their ability to address the identified constraints in the CRSP’s global plan. These plans are subject to approval by USAID and by BIFAD and its relevant subcommittees.
7. They select research sites not only to achieve quality research results, but also according to criteria including the importance of the research to a specific country economy, the presence of adequate institutional research capacity in country, the interest and commitment of the host country government or institutions in the research program, the interest of the relevant USAID Bureau and/or country Mission, and the availability of sufficient resources to do the research.

#### CRSP ADMINISTRATIVE STRUCTURE

The Collaborative Research Support Programs (CRSPs) are administered through a Management Entity or Management Office based at land grant universities throughout the United States. While each CRSP has a unique management structure based on the *CRSP Guidelines* and the policies of the Management Entity University, the CRSPs share a common overall administrative structure.

#### *The United States Agency for International Development*

All Collaborative Research Support Programs including the Global Livestock CRSP, receive funding from the **United States Agency for International Development (USAID)**. USAID is the U.S. federal government agency that implements the United States’ foreign economic and humanitarian assistance programs. USAID’s origins date from the Marshall Plan reconstruction of Europe after

World War II and the Truman Administration’s Point Four Program. In 1961, President John F. Kennedy signed the Foreign Assistance Act into law and created USAID by executive order. Since that time, USAID has been the principal U.S. agency to extend assistance to countries recovering from disaster, working to escape poverty, and engaging in democratic reforms. USAID is a federal government agency that receives overall foreign policy guidance from the Secretary of State.

USAID is headquartered in Washington D.C. and has field offices (also called Missions) in many of the countries where they have programs. The Agency is headed by an Administrator appointed by the President of the United States and confirmed by the Senate.

In Washington, USAID’s major organization units are called Bureaus. Each Bureau houses the staff responsible for agency activities. The Global Livestock CRSP receives the prime award and core funding from the **Bureau of Economic Growth, Agriculture and Trade (EGAT)**, Office of Agriculture (Ag) at USAID. EGAT implements Agency activities worldwide in areas of economic growth, poverty reduction, education, economic infrastructure, agriculture, environment, natural resource management, and women in development. The Bureau also oversees the recruitment, selection and training of New Entry Professionals (NEPs) and coordinates technical training opportunities for all USAID staff working in EGAT’s areas of expertise.

The **Office of Agriculture** focuses on activities relating to agriculture including food production, farming, fishing/aquaculture, livestock production, forestry, and marketing as well as reduction of hunger and poverty and sound management of natural resources necessary for agriculture. The Office is also responsible for staffing of the Board for International Food and Agricultural Development (BIFAD) and the preparation of the annual Title XII Report to Congress.

Within the Office of Agriculture at USAID, the Global Livestock CRSP is assigned a **Cognizant Technical Officer (CTO)**. It is the CTO's responsibility to ensure, through liaison with the recipient, that the terms and conditions of the grant are accomplished. The CTO has technical expertise for programmatic as well as administrative monitoring and evaluation of the Program.

The Global Livestock CRSP also receives funds for specific activities from the **USAID field offices or Missions**. The Missions are located overseas and identify needs and establish strategies for delivering assistance to the host country. The authority to design, procure and implement specific activities are largely delegated to field missions, based on USAID/Washington's approval of the country strategy.

### ***The Board for International Food and Agricultural Development***

The Board for International Food and Agricultural Development (BIFAD) was created in 1975 under Title XII ("Famine Prevention and Freedom from Hunger") of the Foreign Assistance Act. The primary role of BIFAD is to advise the USAID Administrator on agricultural development priorities and issues and to monitor activities undertaken under Title XII including the CRSPs. BIFAD members are appointed by the President of the United States.

There are seven members, at least four of whom must be from the U.S. university community. The Board receives technical, administrative and financial support through the Office of Agriculture and Food Security in the person of the Title XII Federal Officer and other Office staff. BIFAD normally meets at least three times a year. All meetings are announced and open to the public. Minutes of their meetings are available at the USAID web site, [http://www.usaid.gov/our\\_work/agriculture/bifad/](http://www.usaid.gov/our_work/agriculture/bifad/).

### ***Strategic Partnership for Agricultural Research and Education***

In 2001, a subcommittee of BIFAD was formed to improve communication and broaden involvement of the U.S. university community in the activities of USAID. The Strategic Partnership for Agricultural Research and Education (SPARE) committee consists of six members, three chosen from the universities and three chosen from the Agency. SPARE responds to requests of BIFAD and the National Association of State Universities and Land Grant Colleges (NASULGC) Board of Agriculture on matters related to food security, agriculture, nutrition, rural development, natural resources, agribusiness, trade, intellectual property rights and sustainability. Within the scope of SPARE's duties, the Committee conducts performance reviews of the CRSPs and advises BIFAD on subjects related to the CRSPs.

**CURRENT APPOINTMENTS**

***United States Agency for International Development***

Andrew S. Natsios, Administrator

Emmy Simmons, Assistant Administrator for Economic Growth, Agriculture and Trade Bureau

Tom Hobgood, Director, Office of Agriculture, EGAT

Joyce Turk, Cognizant Technical Officer for the GL-CRSP, EGAT/AG

***The Board for International Food and Agricultural Development***

M. Peter McPherson (CHAIR), President, Michigan State University (2005)

William DeLauder, President Emeritus, Delaware State University (2004)

Carol Lewis, Dean, School of Natural Resources and Agricultural Sciences, University of Alaska, Fairbanks (2004)

Anthony Laos, President & CEO, Stauffer Seeds, Omaha, Nebraska (2005)

Stewart Iverson, Jr., Dows, Iowa State Senate Majority Leader (2005)

Sharon Quisenberry, Dean, College of Agriculture and Life Sciences, Virginia Polytechnic Institute and State University, Blacksburg (2004)

Mike Deegan, President & CEO, ACIDI/VOCA, Washington, D.C. (2005)

***Strategic Partnership for Agricultural Research and Education***

Winfrey Clarke, Virginia State

John Swanson, USAID

Open, 4 positions



**COLLABORATIVE RESEARCH SUPPORT PROGRAMS (CRSPs)**

**International Sorghum/Millet (INTSORMIL) CRSP**

Program Director: John Yohe, University of Nebraska  
<http://intsormil.org/>

**Bean/Cowpea CRSP**

Program Director: Irv Widders, Michigan State University  
<http://www.isp.msu.edu/CRSP/>

**Peanut CRSP**

Program Director: Tim Williams, University of Georgia  
<http://www.griffin.peachnet.edu/pnutcrsp.html>

**Global Livestock CRSP**

Program Director: Montague Demment, University of California Davis  
<http://glcrsp.ucdavis.edu>

**Aquaculture CRSP**

Program Director: Hillary Egna, Oregon State University  
<http://pdacrsp.oregonstate.edu/>

**Integrated Pest Management (IPM) CRSP**

Program Director: E.A. "Short" Heinrichs, Virginia Tech  
<http://www.ag.vt.edu/ipmcrsp/index.asp>

**Sustainable Agriculture & Natural Resource Management (SANREM) CRSP**

Program Director: Theo Dillaha, OIRED/Virginia Tech  
<http://www.oired.vt.edu/sanremcrsp/>

**Broadening Access & Strengthening Input Systems (BASIS) CRSP**

Program Director: Michael Carter, University of Wisconsin  
<http://www.basis.wisc.edu>

**Soil Management CRSP**

Program Director: Goro Uehara, University of Hawaii at Manoa  
<http://tpss.hawaii.edu/sm-crsp/>

## PROGRAM DESIGN

The Global Livestock CRSP conducted a comprehensive sub-sector review to establish the portfolio for the current grant. A series of conferences and workshops were held in a hierarchical sequence that allowed both top-down and bottom-up input. Neither a top-down nor bottom-up approach, by itself, would provide all the perspectives demanded of a program that must be global yet effective at the field level. A sector review of the global picture to determine overall themes combined with a workshop with USAID to set geographic emphasis provided a top-down approach. Subsector reviews through a series of workshops with the NARS, NGOs and other national and regional researchers provided the mid-level input that set the agenda priorities and formed the problem models within the parameters set by the top-down mechanisms.

As forums for client input, the workshops maximized the opportunity of regional professionals to present their views on development issues confronting them. The problem models they developed established the scope of activities within the region. Assessment teams, selected in an initial competition, developed projects that addressed the top priorities within the regions. The problem model was the central component of the assessment process. Each team was charged with refining its problem model through in-field explorations. To ensure grassroots input, over 20 regional workshops involving 35 countries were conducted during the assessment period. Because the process was hierarchical, it permitted the GL-CRSP to progressively focus the agenda from a broad, global perspective to one matching USAID's regional priorities, and then, to the detail of local and regional needs.

With input from the sector and subsector reviews, an Advisory Panel made up of leading international development professionals developed the Global Livestock CRSP Program Goals and Strategic Objectives.

## *Program Goals*

The goal of the GL-CRSP is to increase food security and improve the quality of life of people in developing countries while bringing an international focus to the research, teaching, and extension efforts of U.S. institutions. This goal is to be achieved through collaboration between U.S. universities and other institutions, and national and regional institutions abroad that are active in livestock research and development.

## *Strategic Objectives*

To achieve this goal, the following objectives have been identified:

- Improve the interaction between livestock production and natural resource use and conservation, and more effectively integrate livestock production systems with the rational use of natural resources, such as wildlife and water.
- Decrease poverty and increase the security of people whose livelihoods depend on livestock by providing mechanisms to manage risk.
- Enhance the nutritional status - and decrease morbidity and mortality - of targeted populations, particularly children and women, through increased availability and utilization of animal source products, thereby increasing human capacity.
- Strengthen the ability of institutions in developing countries to identify problems in livestock production and develop appropriate solutions.
- Provide support to decision makers in developing policies that will promote: a) livestock production, marketing, and trade; b) human nutrition and child physical

and cognitive development; and c) natural resource conservation and management.

- Develop and strengthen communication systems (including but not limited to extension) among livestock producers, policy makers, businesses, researchers, and consumers that promote greater market participation, increase human and institutional capacity, and improve policy.

### ***Global Plan***

The Global Livestock CRSP global program builds effectively on complementarities between projects in different regions. Centered on a theme of managing risk in our unpredictable world, the program is developing the capacity to predict risk so it can be better managed, improving the tools to cope with risk, and contributing to the mediation of risk. The GL-CRSP has chosen to work in ecosystems and regions where human populations and natural resources are most vulnerable, and in most cases, where biodiversity is most valuable. The GL-CRSP focuses on human nutrition, economic growth, environment and policy related to animal agriculture and linked by a global theme of risk in a changing environment.

### ***Training Plan***

The Global Plan recognizes human capacity building as a fundamental component of research and development. Training has always been a key component of the CRSP portfolio. The GL-CRSP design provides for a wide range of training possibilities and employs both traditional and innovative strategies to achieve its training goals.

**Degree Training.** The GL-CRSP provides funding for operational and research costs to both U.S. and host-country graduate students. Projects are encouraged to leverage funds to support tuition.

**Non-Degree Training.** Short-term training provides a cost effective means to build capacity. Training workshops and courses build capacity for not only students but host country professors, researchers and other development professionals.

**The Jim Ellis Mentorship Program.** Named in honor and memory of Dr. Jim Ellis, a renowned scientist, mentor and GL-CRSP principal investigator, these awards provide partial support to students in order to improve the overall quality of their research. The Program provides funds to conduct research in specialized facilities or field settings away from their home campuses and to provide opportunities for greater diversity in collecting and more creativity in analyzing data than would otherwise be possible. The awards are intended to provide supplemental funds for students already working on GL-CRSP projects.

**Travel Grants for Students.** To encourage student participation at the GL-CRSP conferences, a select number of travel grants are awarded to students for presentation of their findings at the conferences. The awards permit students to inform others about their research and bring them in contact with researchers from other disciplines and other projects.

**Build Capacity of Institutional Partners.** The GL-CRSP goal is to build both human and institutional capacity simultaneously within host-country partner institutions. Selective targeting of funds through project funding and program enhancement address key deficiencies within these partner institutions.

### ***Characteristics of GL-CRSP Projects***

The Global Livestock CRSP incorporates a broad and complex perspective on international development based on the following principles:

- Research should be demand-driven and problem-oriented, with considerable resources invested in problem assessment at the grass roots level.
- Impact should emphasize human outcomes, involvement of local communities, facilitation of research-extension links, and the building of partnerships with other stakeholders.
- Identification and communication of relevant policy issues should be a critical component of project planning and implementation.
- Integration of gender concerns and appropriate gender analysis should be an integral part of project research and results.

As the GL-CRSP took on issues that cut across sectors and disciplines, the individual projects have become more interdisciplinary and the program more multidisciplinary. GL-CRSP projects are focused on a problem model which is refined through a collaborative assessment process before the project partners and activities are determined.

**Problem Model Focus.** The objective of the planning and assessment process is to develop the problem model with host country input. A problem model is a detailed description of a development problem that defines the problem and the underlying processes that produce the problem. The problem itself is the focus of the project and the solution to the problem structures the project's team composition and activities. Projects are rated on the quality of their problem model and how well their team and activities address the problem model.

**Assessment Teams (AT).** Before a project begins its research program, it completes a short assessment phase, usually three to nine months. Too often,

teams are hastily formed in response to Request for Proposals and these teams take years to reach their full potential, if ever. GL-CRSP projects have the added challenge of working not only across cultures but across disciplines. The GL-CRSP designed a process that provides an open competition to carry out an assessment. During this phase, teams are given modest resources to conduct in-country workshops, planning and assessment. This allows the teams to refine the problem model iteratively, determine and adjust team composition to fit the evolving problem model and ensure that colleagues are compatible and the team is functional. These teams then produce a research proposal for a final competition. The AT process sends a strong message to the host country collaborators, stakeholders and policy makers, through the in-country workshops and extensive consultations, that the collaboration is real.

**Open Competition for Awards.** The GL-CRSP has made a commitment to open competition. A Request for Assessment Team Proposals is used to develop new projects and attract new scientists to the program throughout the life of the grant. Only the most successful assessment teams will continue with full research projects. A concerted effort is made to target Historically Black Colleges and Universities (HBCU) and Minority Serving Institutions (MSI) when RFPs are released.



## GLOBAL LIVESTOCK CRSP PROJECTS

The Global Livestock CRSP program is not a static set of activities but a constantly evolving and dynamic array of problem-focused projects. The iterative process that developed the original core of projects in 1997 continues as new research findings guide the GL-CRSP portfolio. The current projects are:

### ***Central Asia:***

Project: *Developing Institutions and Capacity for Sheep and Fiber Marketing in Central Asia.*

Lead U.S. Institution: University of Wyoming

U.S. Lead Principal Investigator: Dr. Robert Stobart

Beginning date: October 1, 2003      End date: September 30, 2006

Project: *Forage Monitoring Technology to Improve for Risk Management by Herders in the Gobi Region of Mongolia*

Lead U.S. Institution: Texas A&M University

U.S. Lead Principal Investigator: Dr. Jerry Stuth

Beginning date: May 1, 2004      End date: September 30, 2007

### ***East Africa:***

Project: *Improving Risk Management on East African Rangelands*

Lead U.S. Institution: Utah State University

U.S. Lead Principal Investigator: Dr. Layne Coppock

Beginning date: October 1, 1997      End date: September 30, 2006

Project: *Early Warning System for Monitoring Nutrition and Livestock Health for Food Security of Humans in East Africa*

Lead U.S. Institution: Texas A&M University

U.S. Lead Principal Investigator: Dr. Paul Dyke

Beginning date: October 1, 1997      End date: September 30, 1999

U.S. Lead Principal Investigator: Dr. Jerry Stuth

Beginning date: October 1, 1999      End date: September 30, 2003

Project: *Livestock Information Network & Knowledge System (LINKS) for Enhanced Pastoral Livelihoods in East Africa*

Lead U.S. Institution: Texas A&M University

U.S. Lead Principal Investigator: Dr. Jerry Stuth

Beginning date: October 1, 2003      End date: September 30, 2006

Project: *Managing National Parks in the Context of Changing Human Populations and Economies*

Lead U.S. Institution: Montana State University

U.S. Lead Principal Investigator: Dr. Lisa Graumlich, Big Sky Institute, Montana State University

Beginning date: February 1, 2003    End date: September 30, 2005

Project: *Assessment Team Project -- Animal Source food in Diets of HIV-Infected Kenya Women and Their Children: Can Treatment Outcome be Enhanced?*

Lead U.S. Institution: Indiana University

U.S. Lead Principal Investigator: Dr. Judith Ernst

Beginning date: October 1, 2004    End date: June 30, 2005

Project: *Problem Model Assessment and Initial Capacity Building for the Rehabilitation of the River Njoro Watershed, Kenya*

Lead U.S. Institution: University of Wyoming

U.S. Lead Principal Investigator: Dr. Scott Miller

Beginning date: October 1, 2002    End date: September 30, 2006

Project: *Livestock Marketing in Kenya and Ethiopia*

Lead U.S. Institution: Syracuse University

U.S. Lead Principal Investigator: Dr. John McPeak

Beginning date: January 1, 2003    End date: September 30, 2005

### ***West Africa:***

Project: *Enhancing Child Nutrition through Animal source food Management*

Lead U.S. Institution: Iowa State University

U.S. Lead Principal Investigator: Dr. Grace Marquis

Beginning date: October 1, 2004    End date: September 30, 2007

### ***Latin America:***

Project: *Beef as a source of Vitamin B-12, Iron and Zinc to Improve Development of Infants Fed Low Amounts of Animal Products*

Lead U.S. Institution: University of California, Davis

U.S. Lead Principal Investigator: Dr. Lindsay Allen

Beginning date: October 1, 2004    End date: September 30, 2006



## PROGRAM MANAGEMENT

Primary responsibility for program management rests with the Program Director (PD). The PD manages the activities of the GL-CRSP, in consultation with the External Program Administrative Council (EPAC) and the USAID Cognizant Technical Officer (CTO), in accordance with the terms of the grant. The EPAC, whose members are chosen for their expertise and active involvement in science and international development, is the central consultative committee for the GL-CRSP. The PD and the EPAC are advised by the Technical Coordinating Committee (TCC), which is composed of principal investigators and regional team members drawn from participating projects.

To achieve a dynamic, effective and responsive program, the GL-CRSP model incorporates a results-driven framework, the keystone of which is a continuous cycle of evaluation. Research opportunities and associated contracts are made public and bidding for them is nationally competitive. Project progress is monitored on an ongoing basis, and budget allocation decisions are based on performance. Members of a Pool for External Evaluation of Research (PEER) is periodically called upon to offer impartial, in-depth technical evaluations of projects in disciplines complimentary to the EPAC.

While the nature of the evaluation process varies from project to project, the inclusion of an assessment component is required in the design of a project. The performance of each GL-CRSP project is assessed as part of routine management; continuation of the project is contingent on the team's ability to deliver results. Projects may be graduated as the research and development needs of a region change, or as new issues of global importance come to the fore.

### *Organizational Structure*

The Global Livestock CRSP is administered as a

grant to the University of California, Davis, which, acting as the Management Entity, administers subgrants to participating U.S. institutions and maintains fiscal accountability. USAID provides the thematic foundation, guidance, and core funding for the support of research and development. The main point of contact between USAID and the GL-CRSP is the USAID **Cognizant Technical Officer (CTO)**, who represents and supports the GL-CRSP to USAID management, voices opinions on important management issues within the GL-CRSP, acts as a conduit of information from the Management Entity to USAID officials, and keeps the ME apprised of changes to USAID policy. The CTO interacts with the Program Director (PD) to provide general direction and suggest opportunities for program development. USAID also has an evaluative function in 1) providing input on the external review scope of work, 2) coordinating administrative management reviews every five years, 3) organizing other periodic reviews and 4) participating in yearly reviews of workplans and budgets. Through USAID, the GL-CRSP maintains a vital link to the U.S. government and through the Global Livestock CRSP, U.S. universities, IARCS, NARS, NGOs, and other host country institutions work in close partnership in support of the goals and objectives of USAID.

### *Management Entity/Program Director*

The Management Entity is an administrative unit within the University of California, Davis that receives and administers USAID grant funds for the GL-CRSP and manages the total research program. The ME enters into sub-grant agreements with participating institutions for their respective projects (holding them accountable for project performance and use of funds). The ME is responsible for implementing the Global Plan, coordinating and leading the development of annual budgets and work plans, and expanding the CRSP portfolio as necessary by soliciting new project proposals. It is accountable to USAID for all program expenditures, and reports on the program on a regular basis. The **Program**

**Director** provides leadership in program planning and represents the GL-CRSP and participating institutions to outside agencies. The PD ensures compliance with the regulations of USAID and the University of California, as well as with those of other participating institutions. He bears ultimate responsibility for program impact and accountability. In carrying out the oversight of global and regional programs, the PD is supported administratively by the other members of the ME.

### ***Advisory Boards***

The GL-CRSP organizational structure provides an efficient and effective way to program the resources of USAID. The GL-CRSP has restructured and redefined the traditional CRSP advisory boards to effect 1) greater independence in program development; 2) a simplified and more rational framework; and 3) the infusion of a broader spectrum of development perspectives.

### ***External Program Administrative Council***

**Purpose:** The External Program Administrative Council provides advice and guidance on the scientific management of the Global Livestock CRSP to the Program Director.

**Membership:** The External Program Administrative Council (EPAC) shall consist of seven members appointed for terms of up to five years. The terms of appointment allow for approximately one-third of the Council to rotate off biennially. No members can be from GL-CRSP lead institutions. The membership will include a diverse mix of disciplines and expertise with interest in international development. The members are appointed by the Management Entity with the concurrence of the USAID Cognizant Technical Officer. The Management Entity will solicit recommendations for each EPAC opening from the interested segments of the GL-CRSP community. Non-voting, ex-officio members of the EPAC include the USAID Cognizant Technical Officer, a USAID professional and the Program Director. The Technical Coordinating Committee (TCC) chair also serves as an ex-officio representative of the EPAC, as appropriate. Minutes of each EPAC meeting will be recorded and distributed by the Management Entity.

**Chair:** The Chair is elected by the External Program Administrative Council for a term of three years. In the absence of the Chair, the Program Director will appoint an Acting Chair.

#### **Responsibilities:**

1. Advise the Management Entity on the long-term goals and objectives of the Program, taking under advisement comments of the Administrative Management Reviews, USAID, the Technical Coordinating Committee, and communications from Lead Principal Investigators and/or Principal Investigators.
2. Conduct professional, unbiased reviews of the Global Livestock CRSP in accordance with an official Scope of Work.
3. Recommend additions and deletions of projects, participating Principal Investigators, institutions, and geographic regions.
4. Review work plans and budgets and recommend project allocations.
5. Review progress reports and make recommendations as required for strengthening program operations or support.
6. Assist the Program Director in identifying opportunities.
7. Assist the Program Director with information dissemination. 8. Advise on Program policies and procedures.

**Meetings:** An External Program Administrative Council meeting can be called by the Program Director, USAID Cognizant Technical Officer, or Chair of the EPAC at any time, but the EPAC will meet at least once per grant year. Meetings can be by teleconference, electronic conference as well as in-person meetings. The meetings will be coordinated by the Management Entity and a call for agenda items will be issued at least two weeks before the scheduled meeting.

**Quorum:** Four members constitute a quorum.

**Voting:** Unless specified otherwise prior to the vote, a simple majority of the voting members present will decide all votes with the exception of changing the ME or Program Director. A two-thirds majority of the EPAC and Lead Principal Investigators is required to change the Program Director and/or the Management Entity. Votes can be via electronic communication (e.g., fax, email, teleconference), as well as in-person meetings.

**Conflict of Interest:** No EPAC member can be a Principal Investigator, team member, or have relationships or biases that would in any way prevent him/her from rendering fair and objective advice.

### ***Technical Coordinating Committee***

**Purpose:** To provide intellectual exchange and input on programmatic planning and coordination for the Global Livestock CRSP to the Program Director and Program Administrative Council.

**Membership:** The Technical Coordinating Committee (TCC) shall consist of the principal investigator and regional co-leader. Committee membership will be effective for the individual's entire tenure as a principal investigator or regional co-leader. The Program Director and USAID Cognizant Technical Officer are ex-officio members.

**Organization:** Subcommittees can be established as needed by the TCC. Ad hoc committees can be convened at the request of the TCC Chair or the Program Director to address a specific issue or purpose, after which they will disband. Subcommittees and ad hoc committees can include team members other than the principal investigators and regional co-leaders.

**Chair:** The Chair is elected by a simple majority of the TCC members.

#### **Responsibilities:**

1. Exchange scientific information.
2. Contribute to program planning, coordination, and evaluation.
3. Identify and recommend new program opportunities.
4. Participate in information dissemination to various bodies (e.g., legislators, private sector, NGOs, USAID officers, etc.).
5. Provide intellectual leadership to the developing communities.
6. Provide advice to the Program Administrative Council.
7. Assist with conflict resolution.

**Meetings:** The Technical Coordinating Committee shall meet no less than once every two years. A meeting can be called by the Program Director or TCC Chair with advance notice of at least two weeks. Meetings can be via electronic communications (e.g., teleconferences or electronic mail). Meetings will be coordinated by the Management Entity.

**Quorum:** A quorum consists of a simple majority of the total Technical Coordinating Committee membership.

**Voting:** Unless specified otherwise prior to the vote, a simple majority of voting members present will decide all votes.

**Records:** Minutes and/or proceedings of each meeting will be published within thirty days of the meeting.

### ***Pool For External Evaluation Of Research***

**Purpose:** The Pool for External Evaluation of Research provides objective evaluations of Global Livestock CRSP of projects on an as-needed basis.

**Membership:** The Pool for External Evaluation of Research (PEER) is a pool of accomplished research scientists and/or faculty members with expertise in disciplines complimentary to the External Program Administrative Council. The PEER are from institutions or organizations that are not active participants in the Global Livestock CRSP. The Program Director conducts an open solicitation for potential panelists with the qualifications required for a specific research area; the team is selected with the concurrence of the USAID Cognizant Technical Officer (CTO). The term of appointment can vary from one to five years to meet the Program needs.

**Organization:** An evaluation can be requested by the Program Director or USAID CTO at any time but no less than once each 5 years. Each evaluation is guided by a scope of work developed jointly by the USAID CTO and Program Director, in consultation with the EPAC and Lead Principal Investigator.

#### **Responsibilities:**

1. Conduct a professional, unbiased review of the Global Livestock CRSP projects in
2. accordance with the official scope of work.
3. Make recommendations to strengthen or improve the Global Livestock CRSP project being reviewed.
4. Work with Review Lead Principal Investigator and team of reviewers from EPAC and PEER as needed.
5. Review written material and obtain information essential to the evaluation process.
6. Submit written report within 60 days of the close of the review.

#### **Reports:**

1. All working papers will be considered confidential and property of the review team.
2. The report will be in writing but can be supplemented with oral reports to the TCC, EPAC, Program Director and/or USAID.
3. The Management Entity will circulate the report to the Lead Principal Investigators for comment. The Program Director may prepare a written response to the report, incorporating the Lead Principal Investigator's comments, which can be published with the report.
4. The Management Entity will provide logistical and clerical administrative support at the request of the Review Lead Principal Investigator.

## GL-CRSP ORGANIZATIONAL STRUCTURE

**USAID Cognizant Technical Officer:** Joyce Turk, EGAT/AG

**Management Entity: University of California, Davis**

Montague W. Demment, Program Director  
Susan Johnson, Assistant Director  
Cathy Miller, Budget Analyst  
Gail Stroup, Program Coordinator  
Quin Martin, Student Computer Resource Specialist  
Corinna Cheung, Student Assistant

**External Program Administrative Council**

Deanna Behring, CHAIR, Pennsylvania State University  
Gilles Bergeron, FANTA  
Robin Mearns, World Bank  
Open  
Salvador Fernandez-Rivera, International Livestock Research Institute  
Dennis Poppi, University of Queensland  
Ahmed Sidahmed, IFAD

**Lead Principal Investigators**

Lindsay Allen, University of California, Davis  
Layne Coppock, Utah State University (CHAIR, TCC)  
Judith Ernst, Indian University  
Lisa Graumlich, Montana State University  
Grace Marquis, University of Iowa  
John McPeak, Syracuse University  
Scott Miller, University of Wyoming  
Robert Stobart, University of Wyoming  
Jerry Stuth, Texas A&M University

**Pool for External Evaluation of Research (PEER)**

To Be Named



## PROGRAM POLICIES AND OPERATING PROCEDURES

Approximately two years before the expiration of the current grant, the Program Director working with the USAID in Washington D.C. (USAID/W), the External Program Administrative Council and other experts in the livestock field develop a long range strategic plan, usually covering ten years. This plan designates the target regions and broad objectives for the GL-CRSP. The GL-CRSP focus in each region is established through regional meetings held with regional nationals to define and/or refine problem models then prioritize the problem areas according to regional values.

Before the expiration of the current grant, the Management Entity issues an open call for assessment team proposals based upon the problems identified in the regional meetings. Awards are made on a competitive basis to develop a long-term (three to five year) proposal and budget, to work on one or more of the problem models. Each region has a panel of regional representatives who review and recommend the final proposals for that region.

The Management Entity at the University of California, Davis, prepares a proposal to USAID/W for a five-year grant based upon the most competitive project proposals. USAID/W prefers to have the proposal about six months prior to the expiration of the existing grant in order for the various offices within USAID/W to review and comment on the proposal. Approximately three months before the expiration of the existing grant, the GL-CRSP Director and Chair of EPAC as well as other people invited by the Program Director make a formal presentation and defend the proposal to SPARE and a panel selected by USAID/W. The panel consists

primarily of USAID personnel. The new grant with the initial year of funding is usually received from the USAID/W Procurement Office about 30-45 days before the old grant expires.

### *Subgrants*

After the grant is received at UC Davis, the Management Entity prepares new subgrants based upon the proposals submitted earlier in the year and issues funding commitments for one year. The subgrants can be for any period of time up to five years, depending on the approved proposals. However, funding commitments are made on a yearly basis. The subgrants are issued to a Lead Principal Investigator at his/her institution. The subgrant expires if the Lead Principal Investigator resigns or leaves that institution unless the Program Director approves a replacement from the same institution. After the subgrant is issued, the Lead Principal Investigator then becomes responsible for the implementation of the approved Project including issuing any sub-agreements to other Principal Investigators and governmental entities. Each subgrant consists of the basic grant agreement with terms of reference set by UC Davis, a budget, workplan, Federal Standard Provisions issued by USAID/W and the participating institution's indirect costs rates approved by that institution's Cognizant Federal Audit Agency. All subgrants are approved by the UC Davis Director of Contracts and Grants and then sent to the participating institution's Sponsored Programs office for signature. A total of four sets are signed. Two sets of the subgrant with original signatures are returned to UC Davis Management Entity Office; one set is retained in the Management

Entity files and the other set is sent to the UC Davis Contracts and Grants Office. Two sets of the subgrant remain at the participating institution; one set is retained in the participating institution's Sponsored Programs office and the other set is sent to the Lead Principal Investigator's Department.

Each fiscal year, following review and approval of the EPAC, a **modification** is issued to allocate the current year's funds to the project. The modification consists of a cover page, budget and workplan. As with the subgrant document, subgrant modifications are approved by the UC Davis Director of Contracts and Grants and then sent to the participating institution's Sponsored Programs office for signature. A total of four sets are signed. Two sets of the modification with original signatures are returned to UC Davis Management Entity Office; one set is retained in the Management Entity files and the other set is sent to the UC Davis Contracts and Grants Office. Two sets of the modification remain at the participating institution; one set is retained in the participating institution's Sponsored Programs office and the other set is sent to the Lead Principal Investigator's Department.

### ***Workplans and Budgets***

In June of each year, after the initial year, the Program Director issues a call for workplans and budgets for the coming grant year, October 1 through the following September 30. The workplans and budgets are submitted to the External Program Administrative Council (EPAC) for review and comment. Based upon the recommendations and comments of the EPAC, the Director approves the workplans and budget or asks the Lead Principal Investigator to make revisions or respond to questions and/or comments from the EPAC. The approved funding each year, after the first year, is provided by a formal modification to the subgrant committing the full amount in the approved budget and the workplan.

Each Lead Principal Investigator is expected to work with his/her team and regional counterparts in developing the workplans and budgets. The Budget Analyst at the ME is available to help projects with the detail required on the budgets. Each budget is reviewed by the Budget Analyst for accuracy and appropriateness before it is forwarded to the EPAC. (See Appendix for detailed preparation instructions and a sample workplan budget).

### ***Host Country Agreements***

UC Davis, on behalf of the GL-CRSP Management Entity, enters into Memoranda of Understanding (MOU) with each host country in which the GL-CRSP works. The text of the Memoranda of Understanding contains provisions required by USAID as well as UC Davis. There can be some slight variations to meet the unique needs or requirements of the host country as long as the basic intent of the USAID regulations and the UC Davis policies are not compromised. For example, under no circumstances can the GL-CRSP pay customs duties and taxes on donations to the host country but if the host country has another fund source it can charge for the customs duties this section of the Memorandum of Understanding can be adjusted to state no customs duties or taxes will be charged to or paid by the GL-CRSP. The Memorandum of Understanding does not commit any specific amount of funding either by the GL-CRSP or the host country. It does authorize the Project to exist in that country and promises to contribute to the extent possible to the research effort in that country as well as honor the provisions mandated by USAID and UC Davis.

In addition, individual projects enter into Memorandum of Understandings with collaborators. Copies of the MOUs must be provided to the ME for review.

### ***Program-wide Meetings***

Biannual Program-wide meetings are held and the Principal Investigators and host country participants present the work they have done over the past years as well as discuss the plans for the coming years. This meeting includes, the Technical Coordinating Committee, External Program Administrative Council, the USAID/W Cognizant Technical Officer and invited USAID Mission and Washington personnel as well as invited internationally recognized experts on a subject of general interest to the conference participants. A poster session competition is held to enable students working on GL-CRSP research to share in the discussions at the Program Conference. Members of PEER may be asked to produce a report based on a paper review, interviews and presentations. The Technical Coordinating Committee meets during the Program Conference to discuss concerns and explore opportunities for inter-Project cooperation and linkages. The EPAC and ME meets with each individual project to provide feedback on project progress.

### ***Changes***

**Project.** Project changes can be made in multiple ways. The Lead Principal Investigator can propose a change to the Program Director who can then review the proposal with the other parties affected or concerned. This could involve USAID/W and/or the EPAC and host country participants or if the change is modest simply make a decision with no further consultation. A project can also be changed based upon a recommendation of a PEER review or observation of the EPAC. In this case, the Program Director will inform the Lead Principal Investigator in writing of the concern or recommendation and request a written reply. Significant changes to the workplans and/or budget are done via subgrant modifications. Changes to projects can also be effected in the annual work plan and budgeting process.

**Lead Institutions.** If an institution no longer wants to host a project, the terms of the subgrant call for a notice in writing thirty days prior to the proposed termination. Similarly, if the Management Entity is dissatisfied with the performance of an institution, UC Davis can cancel the subgrant with notice in writing thirty days in advance of termination. Other reasons cited in the subgrant for terminating a subgrant include changes in the Lead Principal Investigator's status at that institution; if he/she leaves that institution, the Program Director has the option of terminating the subgrant or developing a new subgrant with the Lead Principal Investigator's new institution.

**Collaborating Institutions.** Changes to the collaborating institutions are made at the discretion of the Lead Principal Investigator and in consultation with the Program Director. The Program Director may in turn consult with the EPAC, USAID/W or other interested parties.

**Host Countries.** With the concurrence of USAID/W and the EPAC new host countries can be added as appropriate. A new Memorandum of Understanding (MOU) is issued for each new country. The MOUs are written to be open ended but can be cancelled by either the host country or UC Davis with 90 days advance notice.

**Team Leaders/Lead Principal Investigators.** Either the Program Director or the Team Leader/Lead Principal Investigator can initiate a change of appointment. If the Program Director initiates the change, it is after consultation with the EPAC and the CTO.

### ***Funding Cycles***

Title XII called for long-term support to U.S. land grant institutions to combat world hunger. USAID chose five years as the base period for CRSP grants. UC Davis is now in its fourth grant since the

inception of the Global Livestock CRSP (formerly known as the Small Ruminant CRSP). Some of the USAID grants were extended in one or two year increments. The last grant from USAID was initially issued for five years then extended two times making that grant run for a total of eight years. That grant ended September 30, 1998.

The grant year runs from October 1 to September 30. In the past, USAID funded the grant in segments rather than the entire year in one allocation. The GL-CRSP has succeeded in getting the funding to coincide with the full twelve month operating year.

When a new grant is issued by USAID/W, the award stipulates an “Authorized Amount” and an “Obligated Amount”. The obligated amount is the amount that is available for immediate spending; the authorized amount is the maximum that can be obligated for expenditure over the life of the grant.

Through appropriation language, Congress directs a funding level for all CRSP programs. Funding levels for the CRSPs are set collectively through negotiation between USAID and the United States Congress. Individual CRSP funding is determined by EGAT. Each year USAID will notify the Management Entity of the amount to be obligated for the coming year. The Management Entity must respond with detail budgets totaling the amount to be obligated and a Scope of Work for the coming year. The Procurement

Office then issues a formal Modification increasing the obligated amount. This Modification must be signed by the Director of Sponsored Programs, UC Davis.

With authorization from the Financial Management Division of USAID, the Procurement Office can increase the authorized amount during the life of the grant. If the Management Entity submits a funding request that will exceed the total authorized amount, a request must be made to raise the authorized amount and provide the justification for exceeding the existing authorized limit. The current grant, PCE-G-00-98-00036-00, has an authorized amount of \$32,429,112 through Sept. 30, 2008.

To the maximum extent possible, the Management Entity awards the full amount to support each project for the approved funding period up to a full grant year, October to September. In some instances, the approved period is less than a year. Any unspent funds at the end of the grant period or September 30, whichever occurs first, revert to the Management Entity and are used according to the highest priority as determined by the Director. Unspent balances are transferred to the Program Enhancement Account. Throughout the year, the Director can supplement any project’s funding based upon a written request justifying the need for more funding or use the Program Enhancement funds for special projects or purposes that strengthen the Program.

**The typical funding cycle is below, however, the political process often causes the timeline to be quite variable.**

May The budget for USAID is set by the Foreign Operations Appropriations Committee of the United States Congress. The appropriation often includes numerous earmarks including one for the CRSPs.

June - July USAID notifies the Management Entity of the amount to be awarded for the following October to September grant year.

The Management Entity prepares and submits the budget along with the Scope of Work based upon the call from USAID/W. The submission is sent to the USAID/W Procurement Office with a copy to the CTO in the Global Bureau.

June The GL-CRSP Director issues budget targets and requests workplans and budgets from each project based upon the allocation amount. A suggested budget target amount is given if the funding allocation from USAID has not been set.

July The Lead Principal Investigator submits a workplan and budget for the next fiscal year.

August The workplans and budgets are sent to the EPAC for review and comment. An EPAC meeting is called to discuss the workplans and budgets. The Director notifies the Lead Principal Investigators of any changes requested by the EPAC and the final amount approved for that project.

August/September Modifications to the subgrants formally adding the incremental funding awarded for the October to September grant year as well as any other changes to the basic subgrants needed, e.g., change of end date, etc. are prepared and signed by the GL-CRSP Director and the UC Davis Director of Sponsored Programs. The Modification is then sent by the Management Entity to the grantee institution to sign accepting the award and return two signed sets to the Management Entity. One set with original signatures is sent to the UC Sponsored Program Office and the other set is retained in the Management Entity.

When the Modification signed by the grantee institution is received by the Management Entity, the budget is set up in the UC Accounting system (DaFIS) for that subgrant for that year. The allocation amount is encumbered in the account.

## ACCOUNTING AND FISCAL REPORTING

When the grant is received and signed by UC Davis Director of Sponsored Programs, a set of accounts is established, one account for each subgrant and major activities of the Management Entity. Each account has a budget equaling the amount approved including any modifications to the related subgrant.

Each subgrantee institution reports the projects expenses by line item and country where the expense was incurred. The **Expenditure Report (Invoice)** is prepared and signed by the Accounting Officer at the Lead Principal Investigator's institution. The original Expenditure Report is sent to the Management Entity and the Accounting Officer provides a copy to the Lead Principal Investigator. Each institution is required to report the matching funds along with the expenditures. Subgrantees are required to contribute at least 25% of the value of the subgrant per the terms of the subgrant. Expenditure items excluded from match may be found in the subgrant. Expenditure reports are sent to the Management Entity monthly. The previous month's expenses are due on the 30<sup>th</sup> of the following month.

The Management Entity maintains cumulative records of the expenses and matching funds. Each quarter the Management Entity provides the UC Davis Extramural Accounting Office with the total of the matching contribution reported to date and expenditures by country reported to date. The matching funds are funds the U.S. institution has contributed either in cash or in-kind. No Federal funding can be used as matching funds. See Appendix for approved match and cost share categories. The Management Entity also reports cumulative expenses and accruals to USAID on a quarterly basis. USAID requests this information during the first week following the end of the quarter.

Each quarter the Management Entity also provides the Lead Principal Investigator with a fiscal summary report. The report summarizes project expenses to

date by line item and country. In addition, it shows the total of the matching contribution reported to date.

A final fiscal report is due each year by November 15. In addition to the expenditure report at year-end, the Lead Principal Investigator must report the total leveraged funding he/she has received for the year. Leveraged funding is support from other sources other than the core funding from USAID. The Lead Principal Investigator is asked to prepare a report of the Host Country Contribution for each of the countries that he/she is working in. The Host Country Contributions can include in-kind contributions. A contribution level of at least 10% of the funding received by the country should be targeted.

## TECHNICAL REPORTING REQUIREMENTS

The Global Livestock CRSP strives to strike a balance between a need to evaluate projects, disseminate information and the time-consuming burden of reporting requirements. The GL-CRSP Management Entity (ME) has streamlined the reporting structure to target specific needs and audiences.

### *Workplan and Budgets*

The workplans and budgets are prepared jointly by the U.S. and host country project participants. The workplan consists of three sections. Appendix A includes the requested budget for the coming fiscal year. The PIs provide a detailed budget for the project including detailed budgets for all subcontractees. The budget includes a breakdown of expenditures by U.S., U.S. on behalf of HC, and each country involved in the project. A narrative budget justification accompanies the budget. A description of projected match/cost share and leveraged funding is also included in this section.

Appendix B of the workplan reports on the activities proposed for the coming fiscal year. This section

includes a summary of the future year's research plan, plans for the year by activity, a timetable for completion of those activities, team members and their responsibilities, criteria by which the PI would like the project evaluated, expected impact, planned publications (including research briefs to be completed during the year), training projections, and specific sections on activities related to gender, policy and benefits to the U.S.

Appendix C reports on the activities and achievements of the past fiscal year. This section includes a summary of the year's accomplishments, description of any changes to the research plan and progress by activity. It compares the previous year's workplan to the actual accomplishments. It allows reviewers to evaluate the project based on the PIs own evaluation criteria as approved in the previous year's workplan. Appendix C includes a detailed description of training completed and publications produced during the previous fiscal year to date. With this section, reviewers are given an opportunity to assess the projects progress prior to awarding further funding.

The Workplan and Budgets are due July 31<sup>st</sup> for the upcoming fiscal year (October 1 – September 30). The Workplan and Budgets are reviewed and evaluated in detail by the EPAC, USAID and the Management Entity. The EPAC and/or USAID make recommendations to the Program Director regarding further funding of the project based on the workplans and budgets. The reviewers may request revisions to the workplan and budget and/or ask the PI to respond through a written letter addressing issues or concerns with regards to the proposed workplan and budget. Revisions and responses are due within 30 days of the request.

### ***Annual Report***

The annual report is a published document that provides a summary of activities and accomplishments for each project. Appendix C of the workplan supplies the foundation for the annual report and the PI must only update this workplan section to include the final months of the fiscal year. As with the workplan, the annual report also includes a comprehensive list of collaborating institutions, publications and presentations, and trainees. The annual report also includes specific sections on activities related to gender, policy, impact and benefits to the U.S.

After the third year of the project, research briefs are produced by the PI on a schedule determined by the PI in consultation with the Program Director, USAID and the PAC. The research briefs completed during the year are included in the annual report. The annual report also includes a financial summary of expenditures, host country contributions, match/cost share and leveraged funds.

### ***Quarterly International Travel Projections***

Per USAID regulations, all international travel must have prior budgetary approval. International travel (also referred to as foreign travel) is any travel outside the borders of the traveler's country of residence. The GL-CRSP requires that international travel for each project be approved by the lead PI and therefore, only the lead PI or designate may submit the travel projection report to the ME. The report includes the name of the traveler, date of travel, project name, country traveling to, and a brief description of the purpose of the trip. Project sponsored workshops or conferences must also include the complete list of participants. PIs submit the report by email using the approved format provided by the ME. (See Appendix for sample). The travel projection report is distributed to the CTO, EPAC, PIs, and USAID Missions. Project team members and EPAC are encouraged to coordinate travel schedules and meet

in the host country whenever feasible. The travelers are also encouraged to meet with USAID Mission staff during their trip and Mission staff often request such meetings. Travel reported in the projection report is considered approved by both the ME and CTO unless otherwise noted.

### ***International Trip Reports***

Trip reports are submitted within 15 days of a travelers return to his/her country of residence. A single trip report may be submitted for groups traveling together. Trip reports include the name of the traveler(s), destination of trip, dates of travel, purpose of trip and a brief summary of the trip and list of persons contacted including name, title and affiliation. A detailed report on meetings, accomplishments, technical observations, suggestions and recommendations accompanies the summary. Trip reports are submitted to the ME and distributed by the ME to the CTO and EPAC. Trip reports are considered confidential and will not be distributed further by the ME without written authorization from the lead project PI. (See Appendix for sample of a good trip report).

### ***Training Reports***

All GL-CRSP projects must use the Training Results and Information Network (TraiNet) to document and track all USAID participant training. TraiNet is the official USAID training database and is an Agency-wide database training management system.

In addition, the workplan and annual report include training forms that detail both degree training and non-degree training. The summary of degree and non-degree training accomplishments is used each year in the Title XII report to Congress. The detailed forms for degree training request the name, nationality, gender, university, discipline, degree

being sought, years in training and year the student is expected to complete their degree. The form also includes the percent of funding from the CRSP and total dollar amount provided by the GL-CRSP. The detailed forms for non-degree training request the type of activity, date, location, facilitator or instructor's name, co-sponsors (if any), number of participants by gender and costs of the activity. In addition, the name, nationality and affiliation for each participant are requested.

### ***Additional Reports and Publications***

**Title XII Report.** This report summarized the implementation of Title XII of the Foreign Assistance Act by the U.S. Agency for International Development. The report is prepared by EGAT and each year the Management Entity of the GL-CRSP is asked to provide a summary of achievements for the year. The report is provided to the United States Congress and is an opportunity to communicate the accomplishments of the GL-CRSP to U.S. government public officials.

**Newsletters.** "Ruminations", the Global Livestock CRSP quarterly newsletter, reports on research activities and provides information for a lay audience. The newsletter also serves to announce upcoming events, opportunities for students and research awards, results of workshops or conferences and provides information on issues and publications related to GL-CRSP research topics. Principal Investigators, collaborators and students are all asked to contribute to the newsletter.

**Research Briefs.** Published on a regular basis, the research briefs summarize the critical results and policy implications of GL-CRSP research. The briefs present ideas or emerging trends and succinctly explain major research findings, discuss their practical or policy significance, and provide references for supplementary reading. The length and content of the briefs make them a useful vehicle

for informing USAID staff, host country scientists, and other government or development officials about the value of on-going research and its implications for development policy.

### **Publication Guidelines**

USAID requires that the Agency is prominently acknowledged in all publications, videos or other information/media products funded or partially funded through this award. In addition, the Global Livestock CRSP requires that the program is also acknowledged. The required acknowledgment is as follows:

*“This publication was made possible through support provided to the Global Livestock Collaborative Research Support Program by the Office of Agriculture, Bureau for Economic Growth, Agriculture and Trade, United States Agency for International Development under terms of Grant No. PCE-G-00-98-00036-00. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the USAID.”*

In addition, there are specific requirements as to placement, size, use of logos etc. that must be adhered to. Details are contained in the Standard Provisions of the subgrant document.

It is important for the Global Livestock CRSP to be recognized as a program and projects are a component of that program. The GL-CRSP recognizes that research findings being published are often the result of collaborative efforts with multiple institutions and funding from a variety of sources. It is, however, critical that the GL-CRSP be acknowledged on all publications that result from Program support. Some suggested acknowledgements follow:

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**REPORTING TIMETABLE FOR MANDATORY REPORTING**

<b>REPORT</b>	<b>DUE DATE</b>	<b>DESCRIPTION</b>
Proposed Annual Workplans and Budgets	31 July	Workplans and budgets for the coming fiscal year (Oct. 1 – Sept 30). WP&B are reviewed by the EPAC, USAID and ME. The workplans list major objectives, description of project activities, timeline, impacts and proposed budgets.
Revised Workplans and Budgets (if needed)	Within 30 days of notification	Revised workplans and budgets may be requested after review. PIs will have 30 days to respond.
Annual Report	15 November	Summary report on the previous fiscal year's activities. Includes training report and research briefs.
Quarterly Travel Projections		Projected international travel for the coming quarter.
<i>1<sup>st</sup> Quarter Report</i>	15 September	<i>Projections on Int'l travel October – December.</i>
<i>2<sup>nd</sup> Quarter Report</i>	15 December	<i>Projections on Int'l travel January – March.</i>
<i>3<sup>rd</sup> Quarter Report</i>	15 March	<i>Projections on Int'l travel April – June.</i>
<i>4<sup>th</sup> Quarter Report</i>	15 June	<i>Projections on Int'l travel July – September.</i>
International Trip Reports	Within 15 days of return	Detailed report on activities, contacts and meetings during international travel.
<b>FISCAL REPORTS</b>	<b>DUE DATE</b>	<b>DESCRIPTION</b>
Monthly Expenditure and Cost Share/Match Reports	No later than 30 days after the end of each month.	Summary of expenditures against USAID funds and summary of non-federal sources expenditures – Cost Sharing/Matching. Includes back-up reports on host country contributions (match /cost share from host countries) and international travel expenses.
Leveraged Funds Report	15 November	Summary report on funds leveraged by the project during the previous fiscal year.
Closing Expenditure and Cost Share/Match Reports	15 November	Final summary of expenses due for closeout of fiscal year. Includes final back-up reports on Host Country Contributions and International Travel Expenses.

## GRANT REGULATIONS

The Global Livestock CRSP is a federally funded program of the US Agency for International Development and therefore must adhere to US Federal regulations governing grants. The US Government's Office of Management and Budget (OMB) issues the Code of Federal Regulations (CFR) and the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, and other organizations. As an institution of Higher Education and non-profit organization, University of California, Davis, must adhere to OMB Circular A-110. In addition, OMB A-110 has been codified in 22 CFR 226 for USAID. Section 22 CFR 226 has regulations specific to USAID. These "Standard Provisions" are attached to the subgrant of all GL-CRSP projects. Any USAID funds expended through the GL-CRSP program and projects must follow the regulations in both OMB A-110 and 22 CFR 226. In May 2004, the Office of Management and Budget established title 2 in the Code of Federal Regulations for grants and other assistance agreements in an effort to consolidate government regulations. The OMB Circular A-110 is now contained in 2 CFR Part 215.

The Automated Directives System (ADS) is USAID's policy directives management program. The GL-CRSP grant mandates adherence to ADS 253, USAID's policy on participant training.

The regulations most commonly applied to GL-CRSP projects are detailed in this section. For a copy of the exact regulation, please refer to the Appendix.

## THEFT SENSITIVE ITEMS, EQUIPMENT PURCHASES AND INVENTORY

### **USAID Definitions**

From the AID guidelines (22 CFR Part 226.2), the following definitions apply:

1. *Equipment* means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost of \$5000 or more per unit. However, consistent with subgrantee policy, lower limits may be established. [Some university guidelines may define equipment as having an acquisition cost lower than the USAID definition.]
2. *Personal property* means property of any kind except real property. It may be tangible, having physical existence, or intangible, having no physical existence, such as copyrights, patents, or securities.
3. *Real property* means land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.
4. *Property* means, unless otherwise stated, real property, equipment, supplies, intangible property and debt instruments.
5. *Intangible property and debt instruments* means but is not limited to, trademarks, copyrights, patents and patent applications and such property as loans, notes, and other debt instruments, lease agreements, stock and other instruments of property ownership, whether considered tangible or intangible.
6. *Theft sensitive property* means any property of value and subject to a likelihood of theft. This includes, but is not limited to, computers, cell phones, fax machines, scanners and other office equipment, cameras, research equipment, etc.
7. *Commodity* means any material, article, supply, goods, or equipment.

The cost of the asset includes the cost to put it in place. For example the cost includes the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. The US federal government distinguishes between scientific equipment and general purpose. General purpose equipment consists of equipment, the use of which is not limited only to research, medical, scientific or other technical activities. Examples include office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, cameras and computers.

All equipment having a unit price of over \$5,000 must be approved in advance. Approval can be through the annual workplan and budget submission or by special request to the Management Entity which in turn requests permission from the USAID Procurement Officer via the USAID CTO.

The Budget Analyst of the Management Entity reviews the annual budgets submitted by the Lead Principal Investigators. When any budget is approved which includes equipment items, the Lead Principal Investigator is requested to notify the Management Entity when he/she plans to purchase the equipment. The Lead Principal Investigator specifies in writing the description, make, model, estimated costs and confirmation

that the item is of U.S. source and origin. The Lead Principal Investigator must explicitly confirm that the purchase will be openly competed. Any sole source purchases must be justified. In order for equipment to qualify as being of U.S. origin, at least 50% of the components must be of U.S. sources.

**Source, Origin and Nationality**

1. *Origin* means the country where a commodity is mined, grown or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a new commodity results.
2. *Source* means the country from which a commodity is shipped to the cooperating country or the cooperating country if the commodity is located therein at the time of the purchase. “Source” can also mean that country from which the commodity was shipped.
3. *Nationality* means the country in which the manufacturing company is headquartered.

The source and origin of a commodity is authorized in the grant document by name and reference to a USAID geographic code. The GL-CRSP grant specifies geographic code 000 or the United States. A written waiver must be obtained from USAID/W for any item that is not of U.S. source and origin. The waiver is requested via the Management Entity.

Special source rules requiring procurement in the United States

1. Agricultural commodities and products must be procured in the US unless the commodity cannot reasonably be procured in the US.
2. Motor vehicles must be manufactured in the US to be eligible for USAID financing. Also, any vehicle to be financed by USAID under a long-term lease must be manufactured in the US. Motor vehicles are defined as self-propelled vehicles with passenger carriage capacity, such as highway trucks, passenger cars and buses, motorcycles, scooters, motorized bicycles and utility vehicles.
3. Pharmaceutical products must be manufactured in the US in order to be eligible for USAID funding.

**Long-term leases**

Any commodity obtained under a long-term lease agreement is subject to the source and origin requirements. A long-term lease is defined as a single lease of more than 180 days or repetitive or intermittent leases under a single activity or program within a one-year period totaling more than 180 days for the same type of commodity.

**Waivers**

A waiver to authorize procurement from outside the United States of agricultural commodities, motor vehicles, or pharmaceuticals can be requested in writing to the USAID contract officer through the Management Entity. Waivers can take one year or more to process.

Any individual transaction not exceeding \$5000 (not including transportation) does not require a waiver. In no event, however, shall procurement be from a non-Code 935 source.

*Code 935* – Any area or country including the cooperating country, but excluding the foreign policy restricted countries.

*Foreign policy restricted countries* include: Afghanistan, Libya, Vietnam, Cuba, Cambodia, Laos, Iraq, Iran, North Korea, Syria and People's Republic of China.

The GL-CRSP funds cannot be charged for customs duties on any equipment shipped to overseas locations. The duties must be cleared exempt of customs duties or charged to some other fund source. Any customs paid by an overseas collaborator (host country) can claim that amount in the annual report of host country contributions to the GL-CRSP.

GL-CRSP funds cannot be used to buy used equipment. If a Project wishes to sell any equipment purchased with GL-CRSP funds, the Lead Principal Investigator must request approval from USAID/W via the Management Entity. Any funds received from the sale of GL-CRSP funded equipment must be credited back to the GL-CRSP or if the GL-CRSP is terminating the funds are refunded to USAID/W.

### ***Property Control***

All equipment and theft-sensitive items must be inventoried every year. Property records must be maintained accurately and should include the following information:

1. A detailed description of the equipment, including model and make.
2. Manufacturer's serial number, model number, national stock number or other identification number.
3. Source of equipment, including the award number.
4. Project
5. Acquisition date (or date received, if the equipment was furnished by another project) and cost.
6. Location and condition of the equipment and the date the information was reported.
7. Unit acquisition cost.

Official property control records must be kept in such condition that at any stage of the grant, the status of property acquired or furnished under this grant may be readily ascertained.

### ***Maintenance Program***

A maintenance program must be established that is consistent with sound business practice and the terms of the grant. Records of maintenance and a preventive maintenance schedule should be part of the maintenance program.

### ***Insurance coverage***

The project shall, at a minimum, provide the equivalent insurance coverage for real property and equipment acquired with Federal funds. All vehicles titled to the GL-CRSP must be insured in the country where they are located for full coverage. In addition, UC Davis requires that separate liability insurance coverage for one million dollars be purchased on each vehicle titled to the GL-CRSP. This insurance has been purchased with funds provided by UC Davis.

### ***Marking Requirements***

It is required that all equipment and theft-sensitive property purchased with Global Livestock CRSP and USAID funds be marked so as to identify them as being provided under a US Foreign Assistance program. The emblem and logos must conform in design and proportion to the USAID and GL-CRSP emblem illustrations.

### ***Equipment Audit and Inventory***

A physical inventory of all equipment and “theft-sensitive” property must be completed once a year and reported to the Management Entity (through the Lead Principal Investigator).

During the physical inventory, the equipment or theft-sensitive item must be seen by the Lead Principal Investigator or delegate. The responsible party will verify that all the information on the property control records is correct. It is the responsibility of the Principal Investigator to maintain that the status of the equipment and/or property is correct and accurately recorded at all times during the project’s life. If any equipment on the inventory is lost, stolen, damaged or rendered inoperable, the Lead Principal Investigator should report that in writing to the Management Entity. The Management Entity will then notify the USAID/W CTO and request authorization to delete that item from the inventory. If approved, the Management Entity will delete the item from the Program inventory and notify the Lead Principal Investigator to delete the item from the Project inventory. These records should be retained three years past the end of the Project.

### ***Equipment Disposition***

When a Project closes operations in any country and wishes to donate the equipment located in that country, the Lead Principal Investigator should submit a listing of the equipment to the Management Entity requesting authorization to donate the item(s). The Management Entity forwards the list to the CTO at USAID/W and requests approval to donate the items to the country identified by the Lead Principal Investigator. If approved, the Management Entity will notify the Lead Principal Investigator. The Lead Principal Investigator will obtain receipts signed by the authorized person in the host country confirming that the items listed were received and date of receipt. These receipts are sent to the Management Entity and used to delete the items from the active inventory. A copy of the receipt is sent to the CTO at USAID/W.

## **DOMESTIC AND INTERNATIONAL TRAVEL**

All travel paid for with CRSP funds must be in direct support of CRSP activities; the Principal Investigator approving travel must have budgeted funds for such travel. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by project participants who are in travel status on official business of the project. If the subgrantee has a written policy on domestic travel, this policy takes precedence. If the subgrantee institution does not have a written travel policy, the traveler must follow federal government guidelines for domestic travel. Those guidelines are provided. All international travel must comply with USAID federal regulations.

### ***Travel Status***

A traveler is on travel status when traveling on official project business outside the *vicinity* of his or her headquarters or residence. If the individual is traveling for less than 24 hours, the following restrictions apply:

1. A traveler must be on travel status for more than 12 hours in order to be reimbursed for meals in connection with a trip of less than 24 hours.
  2. A traveler on travel status for less than 12 hours may only be reimbursed for meals that are an integral part of a business meeting and when proper documentation is provided.
- (*Vicinity* is defined as within 75 miles or 120 Km of a person's headquarters or residence.)

### ***Reimbursable Travel Expenses***

Those travel expenses that are ordinary, reasonable, and necessary to accomplish the official business purpose of a trip are reimbursable. Such expenses include the following categories of charges:

1. *Subsistence expenses*, including charges for meals, lodging, and incidentals incurred while on travel status. (See Per Diem allowances below).
2. *Transportation expenses*, including charges for commercial carrier fares; car and aircraft rental charges; private car mileage allowances; emergency repair to project vehicles; overnight and day auto parking; bridge and road tolls; necessary taxi, bus, or streetcar fares; and all other charges for transportation services necessary to accomplish the official business purpose of the trip.
3. *Miscellaneous expenses*, including charges for:
  - a. Business expenses such as word-processing services or rental of office machines in connection with preparation of official reports or correspondence; purchase of materials and supplies when normal purchasing procedures cannot be followed; local and long-distance telephone calls (including one reasonably brief, non-emergency personal call to home per day, if desired); and rental of a room or other facility for the transaction of official business.
  - b. Special fees for foreign travel, including costs related to obtaining passports, visas, and required photographs; costs of certificates of birth, health, and identity, and related affidavits; charges for required inoculations and medical evacuation insurance; currency conversion and check-cashing fees; the cost of traveler's checks; and cost of full collision insurance on automobiles rented in foreign countries.
  - c. Registration fees for attendance at conferences, conventions, or meetings of professional or learned societies. Reimbursement for any portion of the registration fee that is for optional entertainment is not allowed. When the registration fee includes food and lodging, no per day expense reimbursement is allowed for domestic travel and per diem may not be claimed for foreign travel. If the registration fee includes one or more meals, per day, per diem expense reimbursement may be claimed with an adjustment for the meals provided.
  - d. Other ordinary and necessary expenses not included in the above categories.

### ***Per Diem Allowance***

The per diem allowance (also referred to as subsistence allowance) is a daily maximum payment allowable for reimbursement of lodging, meals, and related incidental expenses. Per Diem allowances are only authorized if a person is on travel status. The per diem allowance is separate from transportation expenses and other miscellaneous expenses. The per diem allowance covers all charges, including taxes and service charges where applicable for:

1. *Lodging*. Includes expenses for overnight sleeping facilities, baths, personal use of the room during daytime, telephone access fee, and service charges for fans, air conditioners, heaters and fires furnished in the room when such charges are not included in the room rate. Lodging does not include

accommodations on airplanes, trains, buses, or ships. Such cost is included in the transportation cost and is not considered a lodging expense.

2. *Meals.* Expenses for breakfast, lunch, dinner and related tips and taxes (specifically excluded are alcoholic beverages and entertainment expenses, and any expenses incurred for other persons).
3. *Incidental Expenses.*
  - a. Fees and tips given to porters, baggage carriers, bellhops, hotel maids, stewards or stewardesses and others on ships, and hotel servants in foreign countries;
  - b. Laundry, cleaning and pressing of clothing;
  - c. Transportation between places of lodging or business and places where meals are taken.
  - d. Mailing cost associated with vouchers and payment of Government sponsored charge card billings.

### ***Restrictions on use of per diems***

In the event that lodging and meals are paid directly by the project, only out-of-pocket expenses for transportation and incidental expenses can be reimbursed. Expenses must be ordinary, reasonable and necessary and not exceed the maximum allowable for such expenses. No per diems are allowed on travel less than 12 hours.

### **Domestic Travel**

Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip and not to selected days of the trip, results in reasonable charges, and is in accordance with the Global Livestock CRSP's travel policy and practices consistently applied to all project travel activities.

### **International Travel**

International (also referred to as foreign travel) is any travel outside the borders of the traveler's country of residence. If the traveler is traveling more than 30 days, restrictions apply. The Fly America Act requires that all international air travel and shipments under this grant be made on U.S. flag air carriers to the extent service by such carriers is available. There are special reporting requirements for all international travel funded in whole or in part with GL-CRSP funds.

### ***Reporting***

International travel requires prior budget approval and report documentation.

1. *International Travel Projection Report.* All international travel funded in whole or in part by the Global Livestock CRSP must be approved and reported prior to travel. International Travel Projection reports are filed with the Management Entity by the Lead Principal Investigator on a quarterly basis. The report must be submitted by the Lead Principal Investigator or his/her delegate.
2. *Trip Report.* A "Back-To-Office" trip report must be completed within 10 days of return from any international travel funded in whole or part by the Global Livestock CRSP. Travelers who travel together may submit one report for the group. Trip reports are submitted to the Lead Principal Investigator who approves the report and forwards it to the Management Entity of the Global Livestock CRSP.

### ***Reimbursable Expenses***

As with domestic travel, those international travel expenses that are ordinary, reasonable, and necessary to accomplish the official business purpose of a trip are reimbursable. The same categories of charges (as above) apply to foreign travel. International travel per diems are determined as follows:

1. *Foreign Per Diem Rates.* Maximum rates of per diem allowances for travel in foreign areas are established by the Secretary of State and apply to all U.S. government contractors and grantees. Allowances are updated periodically and the rate applicable to the time of travel must be used. Current rates can be found at the Department of state web site: <http://www.state.gov>.
2. *Foreign Per Diem Rates, United States.* Maximum rates of per diem allowances for travel to the United States may be established in accordance with the subgrant University or by the General Services Administration (CONUS). Current rates can be found at the GSA web site: <http://policyworks.gov/org/main/mt/homepage/mtt/perdiem/travel.shtml>.

### ***Restrictions on use of per diems***

International travel is subject to the Lodgings-plus Per Diem system. Per diem allowances for official international travel are established on the basis of the actual amount the traveler pays for lodging plus an allowance for meals and incidental expenses (M&IE), the total of which does not exceed the applicable maximum per diem rate for the location concerned.

1. Only Meals and Incidental Expenses (M&IE) may be paid by per diem when on foreign travel status.
2. Lodging. Only actual expense up to the maximum limit prescribed by the Secretary of State (see above) are reimbursable for foreign travel lodging. Lodging that exceeds the maximum allowable rate may not be reimbursed over the limit.
3. As with domestic travel, in the event that lodging and meals are paid directly by the project, only out-of-pocket expenses for transportation and incidental expenses can be reimbursed. Allocation of meals and incidental rates to be used in making deductions from the per diem can be found at <http://www.state.gov/m/a/als/prdm/651.htm> or in the Appendix. Expenses must be ordinary, reasonable and necessary and not exceed the maximum allowable for such expenses. No per diems are allowed on travel less than 12 hours.
4. For partial days, hours are rounded to the nearest quarter day as follows:
  - a. 3 hours up to 9 hours equals 1/4 day
  - b. 9 hours up to 15 hours equals 1/2 day
  - c. 15 hours up to 21 hours equals 3/4 day
  - d. 21 hours up to 24 hours equals 1 day

### ***Long-term Travel***

For travel assignments of 30 days or more but not to exceed one year, the per diem allowance authorized for subsistence expenses is UP TO 55% of the applicable per diem rate. The long-term daily expense rate must be approved by the Lead Principal Investigator and reflect the expenses the traveler can reasonably be expected to incur. In the United States, a per diem allowance over 55% for long-term assignments of over 30 days, less than one year is considered income and has tax implications for the recipient.

For indefinite travel (assignments that exceed one year), no daily per diem reimbursement is allowed. Any reimbursement is considered income.

### ***Air Travel Restrictions***

1. The Fly America Act requires that all air travel and shipments under the Global Livestock CRSP grant must be made on U.S. flag air carriers to the extent service by such carriers is available. Travel by a foreign air carrier service is allowed under limited criteria. Allowable exceptions to the Fly America Act can be found in Appendix B. A good rule of thumb is that if the flight is over the ocean or within the US, it must be ticketed on an US airline.
  - a. *Certification of unavailability of US Flag Air Carrier.* If a non-US Flag carrier is used because of an allowable exception, a written certificate documenting the reasons must be completed by the traveler and attached to the Travel Expense Voucher.
  - b. *Code Share Flights.* The ticket (or documentation for an electronic ticket) must identify the U.S. flag carrier's designator code and flight number. There is no requirement that the ticket be issued on U.S. flag air carrier ticket stock.
  - c. *US Flag Air Carrier.* The flag registry of the aircraft determines the definition of US Flag Air Carrier. All US airlines such as United, Northwest, American, US Airways, Alaska Airlines, and Continental, fall under this definition.
2. First class and business travel is not allowed without prior written approval by the Management Entity.
3. One stopover en route for a period not to exceed 24 hours is allowable for a trip of 14 hours or more of scheduled duration. Such stopover shall not be authorized when travel is by indirect route or is delayed for the convenience of the traveler. Per diem during such stopover shall be paid in accordance with the established practice of the program.
4. Delays en route. When delays are caused by events beyond the control of the traveler, the traveler may be reimbursed in accordance with the established practice of the program but only when the airline does not provide accommodation or meal vouchers. The traveler should make every effort to collect reimbursement from the airline.

### ENTERTAINMENT

Entertainment is an umbrella term which includes, but is not limited to, food and drink, either as formal meals or snacks and refreshments; receptions and banquets, including the cost of invitations and other associated matters; music, live or recorded; live artistic performances; and personal gifts and furnishings.

### ***Rules In General***

Costs of entertainment, including amusement, diversion and social activities and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodging, rentals, transportation and gratuities) **are not allowed.**

Meals associated with a formal conference or workshop are allowed if the meals are an integral part of the event. Per diems must be reduced accordingly. ***Entertainment expense receipts must be itemized.***

The costs of alcoholic beverages may not be charged to USAID funds.

## **PARTICIPANT TRAINING**

The provisions of USAID ADS 253 are applied to all GL-CRSP training. The grant specifically requires adherence to USAID ADS 253 for all participant training. The training programs may be conducted in the US, host country or a third country. All participant training financed in whole or in part, regardless of whether the training is funded through a contract, grant, cooperative agreement, or other type of agreement must follow the regulations in ADS 253.

The definition of participant training was recently revised. As stated in USAID ADS 253, a participant is:

“... a host-country resident or host-country national sponsored by USAID for a learning activity conducted within the U.S., a third country, or in-country for the purpose of furthering USAID development objectives. A learning activity takes place in a setting in which an individual (the participant) interacts with a knowledgeable professional predominantly for the purpose of acquiring knowledge, skills, or information for the professional or technical enhancement of the individual. Learning activities may be formally structured, such as an academic program or a technical course, or they may be more informal, such as an observational study tour.”

For participants coming to the US for training, there is required documentation, information and processes that must be followed. The Lead Principal Investigator is responsible for insuring that the foreign trainee has had the required medical examination, purchased Health and Accident Coverage (HAC) specified by USAID, has documented certification of English language proficiency, has an Individual Tax Payer's Identification Number (ITIN) for compliance with income tax filing by the trainee and has met all other requirements of ADS 253. For participants going to a third country for training, USAID does require that the trainee have health insurance and training must not take place in restricted countries (see ADS 253 for complete guidelines).

As with all travel, foreign trainees must travel on U.S. carrier to the maximum extent possible and file a waiver for those instances where it is not possible. All the foreign nationals residing in the U.S. in degree training programs must file the required U.S. tax returns. Foreign trainees must return to their home country for at least two years after receiving their degree.

All GL-CRSP projects must use the Training Results and Information Network (TraiNet) to document and track all USAID participants and their accompanying dependents. TraiNet is the official USAID training database and is an Agency-wide database training management system.

In order to comply with Department of Homeland Security, Bureau of Citizenship and Immigration Services (BCIS), and Department of State regulations regarding tracking and monitoring participants, any foreign national who is sponsored fully or partially, directly or indirectly, using USAID funds for participant training activities in the U.S. must enter the U.S. on a J-1 visa (nonimmigrant exchange visitor visa). Participants who already hold valid B-1/B-2 visitor visas to the U.S. are still required to obtain, use, and abide by the terms of the J-1 visa to participate in USAID-sponsored training. Returnees from U.S. participant training programs may continue to use valid B-1/B-2 visas for short trips while fulfilling the two-year, home-country

residency requirement before permanent U.S. residence is allowed.

In 2004, USAID mandated the use of TraiNet as the sole means of acquiring a J-1 visa for participant trainees. Lead Principal Investigator and the subgrant institution are responsible for ensuring compliance with these regulations for all participant training including training conducted under sub-subgrants. Each Lead Principal Investigator must provide the Management Entity with the name and contact information for the TraiNet Initiator and Verifier at their institution and at all US institutions that receive GL-CRSP funds through their project.

