

Policy and Operating Procedures Manual for the SM CRSP

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Policy and Operating Procedures Manual for the SM CRSP

Grant Number: USAID/LAG-G-00-97-00002-00

Grant Period: February 11, 1997 to September 30, 2002 (Phase 1)

October 1, 2002 to September 30, 2007 (Phase 2)

Purpose and Authority

The purpose of the Policy and Operating Procedures Manual is to provide operational guidelines on management and administrative procedures to implement activities associated with the Soil Management CRSP by participating institutions in the U.S. and in host countries (H.C.). These are guidelines and should be used as a reference and guide in understanding the practices and procedures to be followed by the Management Entity over the life of the Grant.

Authority of the Policy and Operating Procedures for the Soil Management CRSP is contained in the referenced Grant from the U.S. Agency for International Development. The referenced Grant was initiated on February 11, 1997 for 5 years and extended for a second 5 years to September 30, 2007 under authorization contained in Modification number 10 to the Grant. A copy was distributed to all participating institutions. The Grant document for the phase 2 included the following:

- Schedule;
- Program Description for the second 5 years;
- Standard Provisions, including CFR 226;
- CRSP Guidelines (draft version of Dec 1999)

If there are discrepancies or inaccuracies in this Policy and Operations Manual, language contained in the CRSP Guidelines takes precedence.

Program Administration and Implementation

A. Administration and Management.

The University of Hawaii serves as the Management Entity for the Soil Management CRSP. The Management Entity is the Grantee of the Grant from the U.S. Agency for International Development.

The Grant, LAG-G-00-97-00002-00, was initiated on February 11, 1997 and will run through September 30, 2007. The Grant document provides a description of the scheduled activities under the Grant, identifies the participating institutions involved in the Grant, lists the authorized level of funding for the SM CRSP, and includes the Standard Provisions and other documents as guiding authorities for CRSP operation. The guiding document referred to as the CRSP Guidelines (1985), revised as a draft in 1999 by BIFAD (Board for International Food and Agricultural Development), provides guidelines for all nine CRSP programs.

The following paragraphs contain descriptions and responsibilities of the Management Entity and its Advisory panels and committees following the CRSP Guidelines.

1. Management Entity

The Soil Management CRSP is a program of the U.S. Agency for International Development implemented by the University of Hawaii as the Management Entity (ME) through a Grant (LAG-G-00-97-00002-00). The ME is ultimately responsible for the conduct of the grant. The Director of the University of Hawaii's Office of Research Services (ORS) and/or the President of the University of Hawaii accepts and signs on behalf of UHM for USAID/W funds, with that acceptance subsequently ratified by the UHM Board of Regents. Programmatic responsibility rests with the Research Corporation of the University of Hawaii (RCUH), the College of Tropical Agriculture and Human Resources (CTAHR) and the Department of Tropical Plant and Soil Sciences (TPSS) at the University of Hawaii at Manoa (UHM) through the Executive Director of RCUH, the Dean of CTAHR and the Chair of TPSS, respectively.

The UHM has organized and designated the Management Entity's office as its functional arm. The ME handles all of the day-to-day management of the CRSP and is staffed by a Program Director, Deputy Director, Administrative Officer, a Secretary and additional support staff, as necessary. This team, representing research management expertise as well as strong financial-administrative competence, works closely with the Office of Research Services of the University of Hawaii to ensure the Grant is administered within its institutional rules and regulations, the CRSP Guidelines, and with federal regulations put forth by USAID.

The responsibilities of the ME include, but are not limited to:

1. Receiving and administering USAID/W grants funds and for monitoring and accounting for all expenditures to USAID.
2. Developing sub-agreements with participating U.S. universities for approved projects;
3. Implementing research programs in coordination with U.S. and HC Institutions;
4. Accounting to USAID/W for program accomplishments and expenditures, including the required U.S. match, through quarterly and annual reports;
5. Obtaining the necessary USAID/W clearances for international travel by CRSP personnel and the required approvals for equipment purchases;
6. Developing and implementing review and evaluation procedures to assure the CRSP's overall performance meets stated objectives;
7. Coordinating and facilitating meetings of the PI, BOD, TC and EEP;
8. Providing leadership in the enhancement of financial resources other than the core grant, such as buy-ins from USAID Missions; and
9. Representing the CRSP on the CRSP Council and assisting the BOD and TC Chairs in their participation in Council activities.

While the ME has the authority to make the final decisions relative to program assignments, budget allocations and authorization, the ME carefully considers the advice and guidance of the various CRSP advisory and evaluation groups, i.e., the BOD, TC and EEP. The roles of these advisory groups are included in the CRSP Guidelines under the heading, "Organization of Participating Institutions"

The following are excerpts taken from the CRSP Guidelines (1975, 1999).

2. Advisory Groups

a. Institutional Representatives (IRs)

The U.S. and HC universities/institutions participating in this CRSP, may at its option, designate an IR to represent them in the conduct of the CRSP. The IRs are selected by their participating institutions on the basis of their administrative responsibilities, "generally from the higher administrative management level", and their relevant expertise. Each IR is the administrative resource for the team on his/her campus and the institution's focal or contact point for the ME. IRs provide administrative advice and support to the successful governance of the CRSP. The IRs collectively constitutes the "Administrative Council" of the Soil Management CRSP (per CRSP Guidelines). There are no IR members in the current SM CRSP hierarchy.

b. Board of Directors 3

Effective from February 11, 1997, the BOD will consist of five members, four from the U.S. Lead Institutions and an external member with relevant technical expertise. UHM, as the ME, has permanent membership on the BOD. The other three U.S. seats rotate among the remaining U.S. Participating Institutions for three-year terms. The external member's seat will be rotated or continued every two years by vote of the membership. The USAID CTO and the CRSP Program Director will serve as *ex-officio* members of the Board. The BOD Chair and vice-Chair are elected, by a simple majority, from and by the BOD members for a one-year term. The vice-Chair becomes the Chair in the second year and a new vice-Chair is elected by simple majority from and by the BOD members as outlined in the bylaws of the SM CRSP (see **attachment A**).

The responsibilities of the BOD include, but are not limited to:

1. Providing the ME with advice on program policy issues;
2. Evaluating the Global Plan, content and balance of the program, and the adequacy of funding and resources through review and approval of annual budgets and work plans;
3. Reviewing the progress/accomplishments of the CRSP through reports from the annual TC review or 3-year major reviews by the EEP;
4. Approving additions/deletions/modifications to components of the CRSP;
5. Approving nominations for the EEP to be submitted to USAID/W; and

The BOD meets at least once annually. Other meetings may be called by the BOD Chair or the ME, when deemed necessary. Meeting options include conference telephone calls or other electronic communication. Participation by at least 50 percent of the BOD members is considered a quorum for transaction of business and a simple majority of members present is required for decisions by the BOD. BOD members receive no compensation for their services on the BOD, but expenses for participating in the meetings are reimbursed.

c. Technical Committee (TC)

The TC for the CRSP will be comprised of four members: a) two independent representatives with relevant expertise with no formal links to the SM CRSP and b) two PI s elected by their peers. The PI participation on the TC is described in the SM CRSP bylaws. This four-member composition of the TC is a continuation of the current model initially established in 1997. If additional members with appropriate expertise are desirable, the ME, in consultation with the BOD, will appoint additional individuals as invited external advisors to the TC.

The TC Chair will be elected by a simple majority by TC members for a one-year term beginning with the initial meeting. The retiring TC Chair will be responsible for seeking

nominations for Chair from among remaining members. The elections will be conducted either by E-mail or a brief conference call (two-four weeks) prior to the first TC meeting of the year.

The responsibilities of the TC include, but are not limited to:

1. Monitoring the technical research of the CRSP and proposing modifications therein.
2. Reviewing the annual work plans and budgets and recommending technical and/or budget adjustments.
3. Reviewing the recommendations of the EEP and recommending adjustments, if appropriate.
4. Reviewing the annual reports relative to the technical progress being made.
5. Making recommendations to the BOD for program actions and budgets.

The TC will meet at least once a year and hold telephone conference calls or electronic tele-conferencing, as necessary. Additional meetings, when deemed appropriate, may be called for by the TC Chair or the ME. Participation by at least 50 percent of the TC members is considered a quorum for transaction of business and a simple majority of members present is required for decisions by the TC. TC members receive no compensation for their services on the TC, but expenses for participating in the meetings are reimbursed.

d. External Evaluation Panel

The EEP is appointed by USAID/W to review the progress, funding, plans and status/prospects of the CRSP. Nominations for EEP members are solicited from CRSP personnel, TC and BOD members as well as current EEP members. When a slate of candidates is prepared, the ME contacts each of them to determine their willingness to be nominated. A list accept is submitted to the BOD for ranking and approval. The approved names are submitted to of the people who the USAID/W Cognizant Technical Officer for processing through the appropriate offices. The EEP consists of up to five members appointed for terms of up to five years.

The EEP Chair is elected, by a simple majority, from and by the EEP members and confirmed by USAID/W. The term of office normally consists of the time remaining in the member's appointment to the EEP.

The responsibilities of the EEP include, but are not limited to:

1. Reviewing the progress of the CRSP's research program on an annual basis, either through a review of the work plans and annual reports or a combination of a paper review and selected site visits;
2. Making recommendations to the ME relative to program direction; and
3. Completing an intensive review every five (or 3) years or at least 2 year prior to the termination of the Grant.

Meetings of the EEP are held as necessary to assist both AID and the ME to assess program progress and direction. Meeting options include conference telephone calls, email, instant messaging, or other electronic communication. Information from all meetings are incorporated as needed into the official report of the EEP along with their recommendations. A simple majority of the members present is required for all EEP decisions. Members of the EEP will be reimbursed for expenses incurred as a result of their participation in reviews or meetings.

e. Review Panel

A review panel is established for the purpose of having an expert review of pre-proposals and proposals for new activities or for extension of existing projects. Members may include external members of the TC. The ME will appoint additional member(s) who are experts in the subject matter of the pre-proposal and proposals being solicited. Selection of additional members will have the concurrence of the chair of the BOD.

The responsibilities of the Review Panel include, but are not limited to:

1. Reviewing and evaluating pre-proposals/proposals received in response to an RFP distributed by the CRSP for its relative scientific merit in meeting the performance requested in the RFP.
2. Making recommendations, in writing, to the ME on the acceptance or rejection of pre-proposals/proposals.

Meetings of the Review Panel are held to discuss the merits of pre-proposals/proposals at the request of the ME. Meeting options include face-to-face, telephone conference calls, email, and other electronic means. Members of the Review Panel will be reimbursed for travel expenses incurred for their participation in meetings.

B. Program Implementation

For each participating institution, a Project Proposal/Work-plan, a Sub-agreement, and sub-Sub-agreements and Memorandum of Understanding (MOU) are the instruments used to formally engage in CRSP activities through the Management Entity or with host country institutions.

1. Project Proposal

The project proposal, once accepted for funding, becomes the Grant document that outlines the objectives, schedule, plan of work, and budget. It identifies the responsible individuals as the principal investigator and co-investigators at the same participating institution or at other U.S. institutions, as well as investigators from host country (HC) institutions. Involvement of investigators from other than the participating institutions is effected through MOU's or sub-sub-agreements between the participating institution and the involved institutions. The ME may be a signatory to the agreement, as may deemed by the participating institution.

2. Sub-agreements

A sub-agreement, as used herein, is a sub-grant that serves as the formal agreement between the ME's institution and participating U.S. institutions in the SM CRSP. The sub-agreement outlines the agreed upon obligations of the participating U.S. institution in achieving the collective goal and objectives of the SM CRSP. It further provides mechanisms (rules and regulations) to obligate funds and to pass authority and responsibility from the Management Entity to the U.S. participating institution (see sample at the end of this section) to implement activities specified in the schedule of the Grant. Appendices to the Sub-agreement include the full Grant document (five-year project proposal and budgets), including the project schedule, work plans, budgets, and applicable USAID Standard Provisions. These appendices are binding inasmuch as they are appended to and made part of the sub-agreement. The sub-agreement should be executed by official signatories at each of the respective U.S. participating institutions and signatories at the institution of the Management Entity.

3. Memorandum of Understanding (MOU) or of Agreement (MOA)

The MOU/MOA is a commitment between a U.S. participating institution and either a HC or U.S. institution to engage in collaborative research and training (see sample at end of this section). It describes the technical and administrative duties and responsibilities of parties involved in the agreement. Recognizing the collaborative research support program and its goals; the MOU/MOA provides procedures for establishing a research/training relationship; including statements of specific responsibilities of the U.S. participating and either U.S. or HC collaborating institutions, duration of the component project defined by the MOU/MOA within the CRSP Grant, and both technical and fiscal reporting requirements. The ME commits no funds directly to the MOU/MOA, only the authorization to enter into a contractual agreement as described in the next section on sub-sub-agreements.

4. Sub-sub-agreements

A sub-sub-agreement is a subordinate agreement to the sub-grant agreement between the ME's institution and the participating institution of the principal investigator. It is the formal agreement among parties of an MOU/MOA and serves as the instrument to either

transfer funds to or to pay for services rendered by another institution. For purposes of this document, instrument refers to a legal document to execute payment by the U.S. participating institution to a collaborating entity. Each Participating Institution uses different types of instruments, but not all of them obligate the collaborating entity to be responsible for rules and regulations set forth in the CRSP guidelines and in the Grant document from USAID. Nor do some of these agreements exempt the U.S. Participating Institution from base accounting for cost-sharing.

Collaborating U.S. and HC Institutions that receive support from the U.S. Participating Institutions are obliged to conform with the rules and regulations referred to as the Standard Provisions included as part of the Grant document from USAID and with applicable rules and regulations of the CRSP Guidelines of 1985 and revised in draft form in 1999 by BIFAD). An important function of the sub-sub-agreements is to identify commitments of CRSP resources to HC institutions whether as advance of funds for deposit in HC institution accounts, equipment purchased in the U.S. for use in the HC, training in the U.S. for HC participants, or any other resources committed by the U.S. lead institution to support participation in a component and Regional Project. Monetary commitments included in sub-sub-agreements may be exempted from the base budget for purposes of calculating U.S. institutional cost-sharing amount as required in the prime Grant.

No standard format for sub-sub-agreements has been established. Each participating U.S. institution is permitted to use their respective instruments for such transactions, provided the format identifies those cost items that exempt from cost sharing as defined in the CRSP Guidelines (1985, 1999).

C. Changes or Modifications

1. Procedures to Modify Project Plans

- a. Any major change to the approved project's target constraints, research goals and objectives, and/or budget, as presented in the five-year work plan in the project proposal (for the current proposal, see Volume II Soil Management CRSP Grant Proposal, 2002-2007). requires approval from the ME with concurrence from the TC and Board of Directors (BOD). Examples of changes include the following but are not limited to these:
 - i. The addition of new research goals not included in the approved Five-Year Work Plan.
 - ii. Any substantive changes in research goals, objectives and project activities, such as changes which might compromise the approved objectives of the Global Plan of the Soil Management CRSP.
 - iii. Elimination or substitution of U.S. or Host Country collaborating institutions.

- b. To request approval of a change, the following is requested of the PIs:
- i. A brief proposal, covering the following points, is to be submitted to the ME by the U.S. Principal Investigator (PI):
 1. Description of the proposed change;
 2. Reasons for the proposed change;
 3. Implications of proposed change to
 - Component objectives and anticipated outputs
 - Component leadership
 - Budget
 - ii. Technical implications of the change(s) will require relevant comments from the TC.
 - iii. The TC will review the package and make a recommendation to the BOD.
 - iv. The BOD will review the proposal as well as all previous comments and make its recommendation to the ME.
 - v. The ME will notify the PI in writing whether or not the proposed change is approved.
- c. Minor changes (e.g., changes in research approach, addition of personnel, or new students who will receive CRSP support, etc.) may be made at the discretion of the PI(s) but such changes should be fully described and justified in the annual project work plans and annual reports for the project year in which the change took place.
- d. U.S. Participating Institutions may have their own internal policies and procedures regarding changes in approved project plans. If these policies and procedures differ to the extent that it conflicts with article (a) of this section and the CRSP Guidelines(1985, 1999), contact the office of the ME.

2. Change in the Lead or Participating Institutions

Participating U.S. Institutions are competitively selected on the basis of the quality of research proposals submitted by scientists affiliated with that institution. A Participating Institution may be designated as the Lead Institution of a project that involves multiple collaborating institutions. The Lead Institution becomes the responsible institution to enter into a sub-grant agreement with the institution of the ME and to provide required reports (technical, administrative, and fiscal) as indicated in the agreement. The institutional support, expertise and capacity in specific areas of science and their ability to conduct collaborative research in support of approved objectives are also evaluated in the selection process. Each Participating U.S. Institution is responsible for implementing activities that contribute to the overall goals and objectives of the SM CRSP.

A participating U.S. or HC institution may be replaced or placed on an inactive status because:

- a) The component has achieved the research and training goals of the approved Five-Year Work plan for which it was responsible;
- b) The institution no longer has the staff and resources to maintain its participation;
- c) The performance of the institution has fallen below an acceptable standard; or
- d) Decreased USAID/W support for the CRSP requires elimination of program components (projects, activities, and/or institutions).

The process of replacing a lead or participating U.S. institution involves the ME, EEP, TC, and BOD acting in accordance with the established review procedures. The BOD and ME work with an institutional representative (IR) of the affected institution to bring about the appropriate action and the ME works with the USAID/W Cognizant Technical Officer throughout the process.

3. Change in Principal Investigator(s)

When a principal investigator, either U.S. or HC, terminates his/her role with the CRSP, the ME must be notified in advance whenever possible. By the next annual meeting of the TC and the BOD, the IR from the Participating Institution is expected to notify the ME of (a) its interest in continuing its involvement in the SM CRSP and (b) its proposal for designating a new PI. The ME will then consult with the IR of either the U.S. or the HC and, if necessary, an interim PI would be identified to continue the project until a replacement is identified.

The BOD and TC reviews this information and works with the ME and CTO to determine if the project should continue. If not, the ME may initiate procedures to identify a suitable replacement PI, and possibly a replacement U.S. participating institution.

4. Procedure to Initiate New Projects or Activities

To initiate a new project or activity, the ME will work with the TC to prepare a Request for Pre-proposals based on a scope of work for the new project or activity. Outputs of such new project or activity should complement the CRSP Global Plan. The Request for Pre-proposal is presented to the BOD for its input and concurrence. When the groups are in agreement, the ME distributes the document to either participating CRSP institutions only or to all U.S. institutions, e.g., distribute to Title XII officers and to NASULGC. When pre-proposals are received by the ME, they are forwarded to and reviewed by either a select panel of experts, the TC (non-PI members) or outside reviewers, if deemed

necessary. A limited number of pre-proposals are then selected for submission of full proposals.

The full proposals follow the same process as the pre-proposals with TC recommendations for funding sent to the BOD. Adding new institutions to the CRSP involves the collective inputs of the ME, TC and BOD. Throughout the process, the ME works closely with the USAID/W Cognizant Technical Officer. When agreement is reached as to which proposal(s) should be funded, the ME notifies the proposal writer. The necessary documentation is then initiated to establish the administrative framework for the new project.

Operating Procedures

A. Project Reporting

1. Annual Work Plans and Associated Budgets

The annual work plan is an internal report prepared annually by each principal investigator. The work plan provides the Management Entity and the Technical Committee with an annual report of proposed activities for each succeeding project year (PY) and an associated annual budget. The annual work plan and budget and the annual progress report will be reviewed by the Technical Committee and submitted to the Board of Directors for approval.

The review process allows the Technical Committee to assess progress of each individual project relative to the overall SM CRSP program. They will determine whether progress is satisfactory or not and report their findings to the Board of Directors and to the Management Entity. Each PI will receive a report from the Technical Committee either before or at the annual meeting of principal investigators.

Annual Work Plan

The work plan is a framework of activities to be carried out to implement your strategy to achieve objectives stated in your project proposal. Your initial project proposal was a 5-year plan of work. The annual work plan should be a complementary document that outlines your best estimate of **who** would carry out the necessary activities and tasks and **how, when, and where** they would be completed to achieve those objectives.

The work plan will be organized and reported on by objectives as stated by the principal investigator(s) in their approved project proposal. Each objective should be subdivided into Outputs and Products. Hence, for a single objective, there may be one or more outputs or products to report on. The outline for the work plan is as follows:

Project Title:

Principal Investigator(s):

Institution(s) or Organization(s):

1. Objective X. (A re-statement of project objective #1)

- **Baseline Statement** - A narrative statement of the current status of project activity or state of knowledge related to the stated objective, i.e. your starting point. This should be a concise statement of 1 or 2 paragraphs. The paragraph should be labeled as project year 1 or PY1.

In subsequent annual work plans, the baseline statement for PY2 and each succeeding year should be added to the baseline. This narrative will serve as a cumulative report on progress achieved for objective X.

By the end of the 5 years, the baseline statement should be a compilation of progress over the period of the grant. It will serve as a chronological report and/or record of accomplishments related to the stated objective.

- Report Table

Objective X: statement of objective				
Output a or product a	Activities or tasks	Est. start and end dates	Percent complete	Responsible individual
	Activity 1	Mo/yr	Percent	Name(s)
	Activity 2			
	Activity n			
Output b	Activity 1			
	Activity 2			

The headings of each column refer to the following:

- Output a/Product a. - Include a narrative description of the output or product.
- Activities - Listing of descriptive activities or tasks necessary to produce the output or product. Each activity or task should be measurable indicator of progress necessary during the project year.
- Estimated start and end dates - Indicate the estimated start and end date(month/yr). If the activity is a milestone activity or event, add an asterisk to that activity statement or task. A milestone event is one that is considered essential that must be completed if succeeding activities are to proceed.
- Percent completion - Estimate the percent completion of each activity. If an activity carries over to more than one reporting period, indicate the percent completion based on the extended period.
- Responsible individual - Identify individual responsible for stated activity or task.

2. [Repeat list for each output/product]

Activities for an output or product under each objective should be measurable. For example, a field trial to assess x and y inputs will be installed at... or a survey of farming practices in a community will be undertaken to These activities when completed are indicators of progress on a particular output that contributes towards attainment of the stated objective. If an activity cannot be completed during the period of the work plan, an

explanation should be included in the baseline statement and should serve to explain why the same activity is listed in the following year's plan.

Annual Budget

The costs associated with activities outlined in the work plan should result in a line item budget for each objective. Line items for the budget include salaries/wages, fringe benefits, supplies, services, travel, and so on. The line item budgets should be summarized following the example below.

Budget Summary Table

Use the following sample budget sheets. Include a separate itemized list of planned international travel and equipment purchase (>\$5000) as shown in the 'Budget Sample'.

Budget Sample			
Period:	PY4: 10/01/05- 9/30/06		
Name of Institution:	XXXX		
Name of Project:	XXXX		
Line Item	ON Campus (@36.3%)	OFF Campus (@20.6%)	TOTAL
Salaries/Wages	87,500.00	50,760.00	138,260.00
Fringe Benefits	21,250.00	12,588.00	33,838.00
*Subcontract	-	38,000.00	38,000.00
	<i>Country A</i>	<i>20,000</i>	
	<i>Country B</i>	<i>8,000</i>	
	<i>Country C</i>	<i>10,000</i>	
Travel - Domestic	14,408.00	-	14,408.00
Travel - International	32,516.00	9,320.00	41,836.00
Supplies	8,375.00	5,700.00	14,075.00
Services	8,786.00	2,500.00	11,286.00
*Equipment ≥\$5,000	-	30,000.00	30,000.00
Others	9,166.00	-	9,166.00
Total Direct Cost	182,001.00	148,868.00	330,869.00
Indirect Cost @36.3%	66,066.36		66,066.36
Indirect Cost @20.6%		18,306.81	18,306.81
TOTAL	248,067.36	167,174.81	415,242.17
<i>*Exempt from Indirect Cost</i>	<i>0.00</i>	<i>60,000.00</i>	
<i>*Subcontract</i>	<i>-</i>	<i>30,000.00</i>	
<i>Country A</i>		<i>20,000</i>	<i>IDC incurred on first \$25,000 in Y1 & Y2</i>
<i>Country C</i>		<i>10,000</i>	<i>IDC incurred on first \$25,000 in Y1</i>
<i>*Equipment</i>		<i>30,000.00</i>	<i>Equipment ≥ \$ 5,000</i>

Cost Sharing			
<i>Exempt from Cost Sharing</i>	10,000.00	38,000.00	48,000.00
<i>Subcontract</i>	-	38,000.00	38,000.00
<i>Training Participant</i>	10,000.00	-	10,000.00
** MTDC:			282,869.00
Cost Sharing @ ≥ 25% of MTDC			70,717.25

***MTDC (Modified Total Direct Cost) is the total direct cost less those costs that are exempt from cost sharing.*

Exempt costs according to the CRSP guidelines (1975, 1999) are:

(1) funds committed under terms of a formal CRSP host country sub-agreement, including funds for facilities, host country personnel services, and equipment and commodity purchases by a participating US institution for use by a host country entity or by the US institution in a host country; (2) cost for training of participants as defined in ADS253 as "AID participants are foreign nationals sponsored by AID to receive training outside their home countries; (3) hospital and medical costs of US personnel of the CRSP while serving overseas.

Attachment Sample

PLEASE LIST THE FOLLOWING ITEMS: For example,

1) Anticipated International Travel by country/destination and by each traveler: \$41,836

Traveler 1: Country A and Country B for 14 days	\$5,200.00
Traveler 2: Country C for 10 days	\$4,000.00
Traveler 3: Country D for 7 days	\$2,800.00
Traveler 4: Country E for 7 days	\$2,500.00
Traveler 5 & Traveler 6:	\$10,000.00
Traveler 7:	\$3,500.00
Traveler 8 & Traveler 9:	\$7,500.00
Traveler 10:	\$6,336.00

2) Anticipated Equipment Purchase: \$30,000

Pickup Truck: one 4 wheel drive pickup truck

3) List of Subcontractor and host country:

Institute ABC: Country A
 Institute XZY: Country X
 University of ABC: Country C

4) List of host countries where expenditures are made in support of activities:

Country A; Country B; Country C; etc.

Total expended in U.S. :

Total expended outside US :

(itemize by country)

IMPORTANT

1. Identify all consultancy or sub-agreements to be entered into during the project year (PY). All copies of consultancy and sub-agreements should be forwarded to the ME. The ME is the repository for such information and documentation as provided in the CRSP Guidelines.
2. If you've included a budget for international travel, list all proposed international destinations, name(s) of traveler(s), and estimated costs by airfare and per diem. All international travel during a project year (PY) will be matched against that list. If a destination is not listed, it is the responsibility of the PI to inform the ME of a new destination. The ME, in turn, will seek approval from the Office of Procurement. The request should be submitted to the ME at least 30 days before departure.
3. Equipment items with a cost of \$5000 or more should be identified. If this item was not listed in the original approved proposal, a separate request to the Office of Procurement will need to be made.

2. Annual Progress Report

The annual progress report of accomplishments should be submitted with the annual work plans and budget. Format for the annual report should adhere to the following outline.

Executive Summary

(a narrative statement of accomplishments and achievements during the past project year)

Introduction or Background Statement

Statement of Project Objectives

Accomplishments (report on progress by Objectives)

Financial Statement (of the project year)

1. Expenditures by line item for the project year
2. Cost sharing total for the project year
3. Percentage of expenditures in the U.S. and at host country sites (identify location).
4. Leveraged funding support. (refers to the estimated dollar value of contributions of human, fiscal, and physical resources by partners or collaborators in carrying

out project activities). List estimates with names of individuals, organizations, institutions, or agencies.

5. Field support or buy-ins. Provide a summary statement of the total funding support and a summary statement of progress and achievements.

Statistical Summary

1. Participating and Collaborating Scientists and Institutions/Organizations. Listing of U.S. participating scientists and their affiliation. Listing of collaborating scientists and their respective institution/organization by country.
2. Publications, Reports, and Presentations. Categorize materials prepared for print, poster, or visual/internet media under separate headings. For the print media, segregate those that were peer reviewed, i.e. journal series. Use a bibliographic listing under each category following the guidelines of the American Society of Agronomy or the Manual of Style (University of Chicago).
3. Training. Under academic degree training, prepare a table for undergraduate and graduate students supported with CRSP funds in the U.S. and in overseas institutions. Include the following information.

Name	Home country	Gender	Degree	Graduation date	Thesis/disertation title	Major advisor
		M or F	BS, MS, PhD	Year grad or estimated grad date		

Under non-degree training, use the following table as a guide.

Title and Date of Workshop or training course		
Name	Country of Origin	Gender

4. List of Acronyms. List all acronyms and full name used to derive acronym in alphabetical

3. Compliance

Non-reporting or belated reporting

If the annual work plans/budgets and annual reports are either not received or are belatedly received, the ME, with concurrence of the Board of Directors, may impose a penalty for non-compliance or late reporting. ***The penalty can include, and is not limited to, withholding of the following year’s allocation for non-reporting and a reduction of the annual budget at a percentage rate approved by the Board of Directors.***

B. Travel

1. Domestic U.S. Travel

Travel within the U.S. do not require prior written approval from the Cognizant Technical Officer nor that of the Office of Procurement. Per diem allowance provided to travelers will utilize participating institutional practice. If such practice is not available, use the Federal Travel Regulations for domestic per diem schedules at the URL, <http://policyworks.gov/org/main/mt/homepage/mtt/perdiem/travel.shtml>.

2. International Travel

Travel outside of the U.S. normally requires the prior written approval of the Cognizant Technical Officer and the Office of Procurement. If travel to an international destination includes meetings with AID mission personnel, a travel request must be submitted to the ME for transmittal to the AID Cognizant Technical Officer (CTO) for his or her action and approval.

1. ***Pre-approved travel.*** For those international travel proposed in the annual work plans and approved by the Technical Committee, no prior written approval is required. Work plans approved by the Technical Committee are forwarded to the AID CTO and the Office of Procurement annually.
2. ***Unanticipated travel.*** In the event an international travel destination is contemplated but not included in the annual work plan, a travel request form (next page) should be completed and forwarded to the ME by the PI for approval. Each request will be forwarded to the CTO for approval. Such requests should be submitted to the ME at least 30 days prior to the proposed departure date.
3. ***Per diem Allowance.*** “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 employees and contractors. For regulations pertaining to these rates, see the [Federal Travel Regulations](#), Chapter 301-7, as established by the General Services Administration and implementing regulations established by Federal Agencies, (Foreign Affairs Manual - See 6 FAM 150...”
(<http://www.policyworks.gov>).

Many participating institutions do not have applicable current policies and per diem schedules for international destinations to be undertaken by SM CRSP scientists. The ME recommends uniform application of Federal Travel Regulation for international travel implemented by participating institutions of the SM CRSP. Application of a uniform practice will minimize differences in allowances provided to both employees and non-employees of participating institutions in meetings or cooperative work at the same location. Per diem rates can be located at the URL, <http://www.state.gov/m/a/als/prdm/2003/>

International Travel Request Soil Management CRSP	
Grant No. LAG-G-00-97-00002-00	Date:
Approval is requested to use Grant funds to support international travel on behalf of the Soil Management CRSP.	
Name and Institution of Traveler(s):	
Program Area: <input type="checkbox"/> NuMaSS <input type="checkbox"/> Rice Wheat <input type="checkbox"/> Biotech <input type="checkbox"/> Trade-Off Analysis <input type="checkbox"/> Carbon Sequestration <input type="checkbox"/> Field Support	
Destination(s) [City, Country]:	
Estimated Date of Departure:	Estimated Date of Return:
Name(s)/Institution of in-country contact(s):	
Purpose of Travel:	
<input type="checkbox"/> No logistical or financial support is required of the local AID mission	
Approved / Disapproved	
_____ / _____ Principal Investigator Date	
_____ / _____ Director of the ME Date	

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C. Equipment Purchase

Equipment purchase with funds provided by the SM CRSP either in the U.S. or in a host country requires prior approval from the USAID Office of Procurement in compliance with OMB Circular A-21. Equipment, for fiscal and administrative purposes, is any item or hardware that has a useful life of more than two years and has a purchase price of \$5000 or more. If an equipment item was not identified in a project proposal at the time this grant was approved for funding by the USAID Office of Procurement, a formal request to purchase such an equipment item must be submitted to the ME for transmittal to USAID.

There will be no retroactive approval to purchase equipment items. If payment was made prior to approval, the expenditure will be considered an unallowable expense and will not be reimbursed by either USAID's Office of Procurement or the ME's institution.

To initiate a request to purchase an equipment item with grant funds provided through the SM CRSP, complete the attached "Equipment Authorization and Request to Purchase" form and either fax or send it as email attachment to the ME's office.

The following information is required and must be entered onto the attached form. They include,

- a. Reason for and purpose of the equipment item—relate it to stated project objectives.
- b. Ownership (title) and responsibility for maintenance, liability and operational costs.
- c. Indicate availability of funds or modification or shifting of line items to acquire such equipment item.
- d. IF the proposed equipment item to be purchased is of non-U.S. source or origin, provide a justification for waiver of the "Buy American Act". Complete the back side of the form.

The completed request form should then be forwarded to the ME's office for review and will be forwarded to USAID's Office of Procurement for their concurrence and approval. The processing time can be as short as a week to as long as several weeks. Plan on a lead time of at least 30 days.

When the purchase request is approved or disapproved, the ME will forward a copy of the communication to the PI and designated Grant Officer of the participating U.S. institution.

**Equipment Authorization and Request to Purchase
Soil Management CRSP**

Grant No. LAG-G-00-97-00002-00		Date:
Principal Investigator:		
Participating Institution:		
Project title:		
Item to be purchased:		
Quantity:	Unit Price (U.S. dollars):	Total Cost:
Proposed location of equipment:		
Individual(s) and institution responsible for equipment:		
Proposed Vendor:		
Vendor's address:		
Justification to purchase:		
Approved / Disapproved		
_____ / _____		
Director, SM CRSP Date		

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Equipment Authorization and Request to Purchase

Request for waiver of the Buy America Act

Equipment item: _____

Reason for waiver request: