

NONCAPITAL PROJECT PAPER (PROP)

9320956 (2)

Country: World-Wide

Project No.: 931-11-570-986

Submission Date: 4/1/71 Original: X Revision No.: \_\_\_\_\_

Project Title: University Services Agreement  
(University of North Carolina)

PD-AAD-428-B1  
679

30/p.

U.S. Obligation Span: FY 1971 - FY 1975

Physical Implementation Span: FY 1971 thru FY 1976

Gross Life of Project Financial Requirements: \$5 million

I. SUMMARY DESCRIPTION

A vast need exists for research, demonstration, experimental and pilot projects, surveys and studies, training, overseas institutional development and support and other activities in the field of population and family planning. A.I.D. has invested sizeable sums of money into developing a domestic institutional capacity for performance of these services. This investment has been largely 211(d) authorized grants to specific universities for development into mature population centers.

One of these institutions, the University of North Carolina has attained a high level of competence and capacity that should be utilized but in a way that overcomes some of the shortcomings of previous A.I.D.-university endeavors. To do this, A.I.D. should enter into a service-oriented relationship with the university -- a relationship that embodies core support, programmatic projects, and activities funded by USAIDs and A.I.D. Bureaus. Except for the latter, this relationship is envisioned to cover a minimum period of five years and would be funded by a programmatic grant to the institution each year.

TA/POP/M:WEAlli:bjk:2/8/71

RS/RSJ

PROJECT AUTHORIZATION

1. PROJECT NUMBER <b>931-11-570-956</b>		3. COUNTRY <b>WORLDWIDE</b>		4. AUTHORIZATION NUMBER <b>0130</b>	
2. PROJECT TITLE <b>University Services Agreement (Univ. of North Carolina)</b>				5. AUTHORIZATION DATE <b>July 28, 1971</b>	
				6. PROP DATED <b>April 1, 1971</b>	
7. LIFE OF PROJECT					
a. Number of Years of Funding: <u>5*</u> Starting FY 19 <u>71</u> ; Terminal FY 19 <u>75</u>			b. Estimated Duration of Physical Work After Last Year of Funding (in Months): <u>N/A</u>		

8. FUNDING BY FISCAL YEAR (In U.S. \$ or \$ equivalent)	DOLLARS		P.L. 480 CCC + FREIGHT	LOCAL CURRENCY Exchange Rate: \$1 =			
	GRANT	LOAN		U.S. OWNED		HOST COUNTRY	
				GRANT	LOAN	JOINTLY PROGRAMMED	OTHER
Prior through Actual FY							
Operational FY 71	1,083,075						
Budget FY 72							
B + 1 FY 73							
B + 2 FY 74							
B + 3 FY 75							
All Subsequent FY's							
TOTAL	See Block 9 below						

9. DESCRIBE SPECIAL FUNDING CONDITIONS OR RECOMMENDATIONS FOR IMPLEMENTATION, AND LIST KINDS AND QUANTITIES OF ANY P.L. 480 COMMODITIES

The Administrator's Review on April 22, 1971 authorized the project during the five year period FY 1971 through FY 1975 at the proposed \$5 million level. The current authorization for obligation is limited to FY 1971 funding only. Annual determination of funding in subsequent years within the \$5 million level is within the authority of AA/TA subject to submission and review of terms and conditions of a revised PROP including clearance by the Regional Bureaus.

10. CONDITIONS OF APPROVAL OF PROJECT

This project has the concurrence of AFR, EA, LA and NESAs Bureaus.

\* 1. Funds will be obligated only for approved core costs, and for specific sub-projects that have been approved by A.I.D. (TA/POP, Regional Bureaus, and USAID). Host country approval of sub-projects will be obtained before sub-projects are implemented.

2. This PROP and PA apply only to core costs and sub-projects approved and funded in FY 1971. A revised PROP will be prepared for items funded in FY 1972 and subsequent years. (Use continuation sheet if necessary)

11. Approved in substance for the life of the project as described in the PROP, subject to the conditions cited in Block 10 above, and the availability of funds. Detailed planning with cooperating country and drafting of implementation documents is authorized.

This authorization is contingent upon timely completion of the self-help and other conditions listed in the PROP or attached thereto.

This authorization will be reviewed at such time as the objectives, scope and nature of the project and/or the magnitudes and scheduling of any inputs or outputs deviate so significantly from the project as originally authorized as to warrant submission of a new or revised PROP.

A.I.D. APPROVAL		CLEARANCES		DATE
 SIGNATURE		TA/POP, AS Lackey ASL (wrt)		3/12/71
		TA/PM, J. Kean / K. Levick		
AA/TA, S. H. Butterfield	6/11/71			
TITLE	DATE	A/CONT		

B. AVAILABLE RESOURCE INSTITUTIONS

To confront these problems, A.I.D. has made a substantial investment in several U.S. institutions. This investment has been largely 211(d) authorized grants to specific universities for development into mature population centers. These institutions are: University of Hawaii, Johns Hopkins University, University of Michigan and the University of North Carolina.

1. A.I.D. Funding of the University of North Carolina

A.I.D. has made a substantial investment in the University of North Carolina by means of two grants designed to measurably add to the development of population competence at the institution. The first was a grant to establish the Carolina Population Center to provide both short- and long-term training facilities and consultative services to A.I.D. for development and implementation of population programs.

The Carolina Population Center:

- a) Conducted conferences, institutes, and specially designed short courses in various fields relating to family planning and population dynamics. These were offered on the University campus and in rural and urban family planning clinics in the immediate vicinity.
- (b) Provided to AID/W and Missions' staffs as requested, consultative services directed toward such questions and problems as:
  - a) pre-program studies and surveys, b) the capacity of specific agencies or countries to locate and provide administrative skills personnel, and the financial resources and facilities necessary for a successful population program effort, c) the nature, scope, resources, and time requirements associated with the establishment

Core support is mainly staff to develop, implement and evaluate proposals. A program director would be the locus for management of the core support efforts.

Programmatic projects would be undertaken by the grantee after proposals had been reviewed by A.I.D. Yearly grants to the institution would be used to forward fund projects for three years. Individual research projects would be limited to a maximum cost of \$50,000 per year and a time limit of three years. Non-research projects would be generally limited to \$100,000 per year and no more than three years duration.

The university is able to undertake a \$1 million level of effort in FY 1971. This is indicated by a list of illustrative projects which the university has recently submitted to A.I.D. In addition to this list, the grantee may submit other projects and A.I.D. may propose projects for the grantee to undertake.

undertaken by the University. For example, strengthening of the basic faculty helped to generate additional support from other sources, while also expanding training opportunities for A.I.D. use; production of educational materials strengthened faculty competence in this work, while also meeting needs of A.I.D. Missions; conferences on "frontier" issues in population planning have led to greater faculty involvement, while also serving the whole field; collaboration with institutions abroad has strengthened the University of North Carolina's understandings of world population problems, while also reinforcing A.I.D.'s direct assistance efforts. When involvement with such work went beyond what was immediately relevant for building Population Center capacities, then the Center turned to A.I.D. or other funding sources for separate, special project support of these activities.

Among the latter activities funded by TA/POP are the following:

a. International Training Seminar in Communication Aspects in Family Planning Programs. A contract for a two-week seminar in 1968 for family planning information leaders from the NESAs, East Asia, and Vietnam areas with intensive training in structuring and carrying out communication support for family planning.

b. Laboratories for Population Studies - Phase I. Contract to prepare detailed proposals for establishing two or more population studies laboratories overseas to test population measurement instruments and obtain information under controlled population conditions.

c. Laboratories for Population Studies - Phase II. A task order to establish laboratories for population studies in collaboration with academic and research institutions overseas to be administered by local nationals. The laboratories will collect population data and experiment with data collection techniques.

d. Improvement of Population Program and Policy Design. A contract to analyze and evaluate current systems of delivering family planning services, and to test alternative approaches in order to more effectively reach rural populations not yet receiving conventional services.

e. Research on Reversible Sterilization. A research contract to explore simpler and more reversible sterilization procedures by (1) undertaking studies on the biologic effects of vasectomy, (2) by developing vasocclusion devices and evaluating them preclinically, and (3) conducting preclinical studies in female tube occlusion. Research will be conducted on animals.

f. University Overseas Population Fellowships. A contract to establish a fellowship program for graduates and post-graduates to undertake assignments in public and private host institutions engaged in population activities overseas.

The Africa Regional Bureau has funded two activities carried out by the University. One of these is "University Teaching of Population Dynamics." This activity began with a contract for the University of North Carolina to make a preliminary survey of the feasibility of establishing a Population Center at the University of Ghana. This is expected to lead shortly to a multi-year contract for the University of North Carolina to establish a population center in a university in each of four African countries, starting with Ghana.

The other activity, "Family Planning in Health Training Institutions" utilizes the University of North Carolina as a principal contractor with subsidiary functions performed by the University of Michigan, Johns Hopkins University and Howard University. An initial survey by a team of staff from these universities will involve traveling to Africa to determine how curricula can be developed to improve teaching of Family Planning in medical schools and

health training institutions. After the survey, a regional contract with the University of North Carolina (which will sub-contract with the other schools) may be signed for work with three institutions in East Africa and three in West and Central Africa.

### C. A.I.D. AND THE UNIVERSITIES -- SOME PROBLEMS

The past involvement of most U.S. Universities in international population/family planning activities in relation to A.I.D. policies and programs has been deficient in several important respects, for example:

Insufficient internal screening of proposals - Many proposals for grants have come from the universities with apparently little screening. Thus, A.I.D. has been faced with the task of reviewing many proposals that a university screening committee might have encouraged improvement of, channeled to more appropriate sources of funding, or discouraged altogether.

Neglect of vital concerns - Some subjects of vital concern to A.I.D.'s program have been neglected by the universities because proposals from the universities tend to reflect only individual faculty interests, as opposed to what would be a more useful basis, one reflecting a university-wide strategy that would be based on major problems or needs in the field.

Narrow funding focus - A.I.D. funding of POP/FP activities has generally been limited to a small portion of each university's resources relevant to POP/FP, e.g. - to the school of public health. Some concentration of A.I.D. funding does seem desirable and to some extent may be unavoidable. However, some activities would clearly benefit from by drawing upon a wider range of the university's resources.

These and other problems, should be avoided in any A.I.D. attempt to further tap the universities' potential to contribute to overcoming obstacles, bridging gaps in knowledge, and otherwise facilitating the solution to key problems in population and family planning.

III. STRATEGY

The strategy is for A.I.D. and the grantee to enter into a long-term service-oriented relationship that takes advantage of and enhances the expertise built by the 211(d) grant, embodies flexible administrative and financial arrangements, allows the maximum opportunity for the grantee and A.I.D. to initiate activities, and draws upon the full range of Pop/FP expertise available at an institution (i.e., university-wide).

This service-oriented relationship, which is envisioned to cover a minimum period of five years, embodies:

- (1) Core support
- (2) Programmatic projects
- (3) USAID and A.I.D. Bureau funding of activities.

A. CORE SUPPORT

An integral feature of the proposed grant is the funding of core support. Core support is designed to permit the institution to undertake research, demonstration, training, etc. activities under a programmatic grant without diminishing its other ongoing activities. It consists of salaries for a core staff, travel expenses, a small amount of equipment, and few other minor items. Core support would be forward funded initially for three years and in subsequent years kept funded in advance for two years in order to permit the university to attract staff and engage in sound planning for future activities.

The core staff would provide additional man-years of professional expertise to be interchangeable with other staff and perform a variety of activities. Core staff professionals from the substantive fields would:

- (a) develop proposals;
- (b) assure sound implementation of approved proposals; (including work as a project staff member, where necessary); and

A program director will be included in the core staff in order to provide proper management of the grant activities.<sup>1/</sup> He will be able to give administrative support to project staff and other members of the "core" as well as coordinate the institution's formulation of priorities for development of project proposals.<sup>2/</sup> The director would facilitate intra-university communication and help enlist all the university's population/family planning competence into participating in the grant activities, as needed.

Also the director would coordinate liaison with other institutions having programmatic grants and with A.I.D. Liaison with other institutions is intended to bring about a sharing of administrative experience, to obviate unnecessary duplication of efforts among the various institutions and to foster joint programmatic activities. Liaison with A.I.D. will provide a means of keeping the grantees aware of developments within A.I.D., especially as they relate to the Agency's needs for research, demonstrations, surveys, etc.

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<sup>1/</sup> This position should be in the office of the University president in order to help coordinate institution-wide inputs, on a full-time basis.

<sup>2/</sup> The university's formulation of priorities for development of project proposals under this grant are referred to as the "grantees' programmatic grant strategy."

## B. PROGRAMMATIC PROJECTS

### 1. Types of Activities

In addition to core support, the programmatic grant is designed to fund a variety of activities designed to benefit A.I.D. programs and policies. The grantee will undertake activities designed to make a positive, tangible and direct impact in the following categories in the field of population and family planning:

- a. Means of fertility regulation.
- b. Demographic data and measurement techniques.
- c. Interrelations of economic, social and demographic variables.
- d. Evaluation methodology and its application.
- e. Family planning services delivery systems.
- f. Information/education programs.
- g. Institutional capabilities in LDCs.
- h. Training and employee development

The activities will consist of research, demonstration, experimental and pilot projects, surveys and studies, training, overseas institutional development and support and other technical support. Generally, these activities are expected to be innovative and prototypical. The research projects will be subject to a maximum limit of \$50,000 per project per year and total life of three years. Non-research projects generally will be limited to \$100,000 per project per year and a maximum of three years.

The grantee is expected to develop these activities so as to provide some measure of substantive and geographic concentration but not be limited to a single country or region of the world. At this point, it is not feasible to state standards against which concentration can be measured and a period of experience under the grant will determine whether such standards are needed.

## 2. Funding of Activities

Each year A.I.D. will make a programmatic grant which the grantee can use to finance various projects providing these projects have met certain criteria and have been incorporated into an agreement with A.I.D. before the end of the fiscal year. The amount of the grant will be determined by A.I.D. early in each fiscal year soon after the grantee has submitted to A.I.D. brief descriptions of illustrative projects which the institution has found to be of highest priority -- in accord with its programmatic grant strategy.

The brief descriptions of illustrative projects submitted by the grantee constitutes its estimate of the level of effort it is capable of mounting under the grant. Every third year, starting with FY 1972, the University should also include the core support requirements implied by the list of illustrative projects and by other activities expected to be undertaken under the grant for the next three years. A.I.D. will determine the amount of the grant on the basis of current funding limitations but with due consideration for the grantee's capacity to perform services of direct benefit to A.I.D.

A.I.D.'s action of making the grant is neither a tacit approval nor disapproval of the illustrative projects; the grantee must submit a proposal for any project it wishes to undertake. Each proposal must be described in detail and reviewed by A.I.D. before the project can be put into an agreement and funded.

In addition to the projects submitted by the grantee, A.I.D. may propose projects for the grantee to conduct using the funds available.

The grantee will be expected to mount a level of effort commensurate with the actual amount of the grant. If, in the current year, the grantee is unable to commit the amount funded for project activities (because it failed to submit proposals <sup>or</sup> to get A.I.D. approval of proposals and/or sign agreements for projects), A.I.D. will deobligate the uncommitted funds prior to the end of the fiscal year. Generally, core support funds will be provided for three-year periods and are not subject to the treatment outlined above for projects.

Thus, the fiscal process for non-core activities is to obligate each fiscal year and, before the end of the FY, deobligate the uncommitted amounts; i.e., amounts for which no agreements have been signed.

### 3. Criteria for Approval of Proposals

For approval under this grant, every project to be implemented in the U.S. must meet criteria numbers 1, 2, and 5. Every proposal requiring work outside the U.S. must meet criteria numbers 1 thru 5. In addition, each of these latter proposals must receive Mission & host country clearances in order to be approved. These criteria may be subject to amendment from time to time as A.I.D. and the grantee may mutually agree.

The criteria are:

1. The project will directly contribute to the success of A.I.D.'s efforts to deal with population problems in LDCs.
2. The proposal is adequate with respect to: (a) cost, (b) level of effort, (c) methodology (including scientific merit of research proposals), (d) personnel (competence & number), (e) facilities and other resources;
3. The project will involve indigenous personnel and/or institutions in the planning and implementation;
4. The project includes training functions for host country nationals in order to develop a resource of competent indigenous research investigators or technical personnel;
5. The project is experimental, innovative, and/or prototypical, or will result in the addition of information or data not now available in useable form.

### C. USAID AND A.I.D. BUREAU FUNDING OF ACTIVITIES

A USAID Mission or A.I.D. Bureau can enter normal contractual relations with the university, following standard regulations, to fund projects. These would not be subject to the criteria of the programmatic grant.

IV. PLANNED TARGETS, RESULTS AND OUTPUTS

Activity targets, results and outputs will be formulated for each undertaking. These will be spelled out in the proposals in such a way as to make clear the specific purposes to be attained by the project and the broader goals of A.I.D. and the country which will be served.

During FY 1971, the grantee is prepared to undertake a level of effort implied by the list of illustrative projects in Appendix I. In addition, the institution has indicated its readiness to employ the core support effort shown in Appendix II.

The amount of the grant for FY 1971 will be \$1 million, which is less than that suggested by the grantee. This will fund the requested core support and a sizeable effort in the form of individual project activities. Most of these activities are expected to be in the same areas as those of the list of illustrative projects.

## PROJECTED FUNDING REQUIREMENT, UNIV. OF NORTH CAROLINA, FY 1971-1975

(All Dollar Figures in Thousands)

	1971	1972	1973	1974	1975	Total
<u>Total</u>	<u>\$1,000</u>	<u>\$1,000</u>	<u>\$1,000</u>	<u>\$1,000</u>	<u>\$1,000</u>	<u>\$5,000</u>
Core Support*	556	--	185	190	--	931
Projects	444	1,000	815	810	1,000	4,069

\*These figures have been estimated by reference to Appendix II but modified on the assumption that the grant will not be made until very late in FY 71.

## V. COURSE OF ACTION

### A. DETERMINATION OF FUNDING

Prior to each fiscal year, the grantee will submit to A.I.D. an estimate of the level of effort it wishes to exert under programmatic grant funding for the upcoming fiscal year. This will be in the form of a list of illustrative projects which the grantee feels it can develop through the proposal stage and then implement, including, projects proposed by A.I.D. In addition to this list, every year beginning with FY 1972, the institution will submit a description of the core support it needs to keep the required core staff forward funded for two years. The annual estimates of level of effort should be submitted to A.I.D. no later than May 30.

A.I.D. will respond, within funding limitations, by reviewing the submittal and the annual report and making a grant to the institution as early as possible in the fiscal year (except in FY 1971). In determining the amount of the grant, A.I.D. will give consideration to the institution's past performance, capacity, and willingness to perform services yielding timely results of direct utility to the Agency.

### B. SUBMITTAL AND PREVIEW OF PROPOSALS

The grantee is expected to submit to A.I.D. all proposals for the fiscal year by no later than March 31. These project proposals must be in accordance with the criteria listed in Section III, Strategy. If by March 31, the grantee will not be able to submit enough proposals to commit all of the non-core funds, he is to submit a statement on when he plans to submit the necessary proposals. This statement is due on March 31. A.I.D. may submit projects to the grantee for its consideration any time during the year for current or future year implementation.

The grantee will submit each proposal in the format shown in Appendix III. Format A for research projects and Format B for non-

research), and A.I.D. will make every effort to complete such review within 45 days of submission of the proposal and advise the grantee as to whether A.I.D. concurs that the proposal meets the grant criteria for funding.

Exceptions from the procedures for proposals will be made for ad hoc fellowships or training awards of \$10,000 or less and for in-house activities costing not more than \$2,500 and not directly involving purchase of commodities or equipment from any source nor services abroad. For such activities, the grantee will submit brief descriptions of the activities (including a statement on the usefulness to A.I.D. policies or programs) as soon as feasible after the commitments have been made and in no case more than thirty days after the commitment. The amount of such exceptions shall not exceed five per cent of the total amount of the grant. Any regularized activities using small amounts of money which total \$50,000 or more annually should be submitted as programmatic projects and not funded from these ad hoc funds.

#### C. TRAVEL CLEARANCES

For overseas visits, where clearance is required, the grantee will request such clearances of A.I.D. at least thirty days before the travel. The request should state the general purpose of the travel, the kind of activity to be developed or implemented and the organizations and persons with which the grantee contemplates contact.

A.I.D. (TA/POP) will seek clearance for the travel and advise the grantee of clearance obtained within thirty days, and, in any case, to keep the grantee informed of progress of efforts to obtain such clearance. The clearance procedure will involve indicating to the mission and/or embassy in the specified country or countries the date of arrival, duration of travel, purpose of visit and principal contacts to be made.

These procedures for obtaining travel clearances would allow modification to conform with arrangements which USAIDs and Regional Bureaus may prefer in their attempt to simplify and speed up the process of authorizing visits, especially second and subsequent visits in conjunction with a project. Thus, TA/POP would be willing to waive the aforementioned clearance procedure to allow for such things as contractor notification of plans to visit an LDC (to the extent that this method were approved by the concerned A.I.D. Bureau and USAID), etc.

The grantee will obtain necessary visas and take other necessary administrative steps for travel. The grantee will undertake to visit the mission and/or embassy in the country on arrival and departure for discussion of the contemplated activity and outcome of consultation with the host country organizations or institutions. For all exploratory visits, the grantee shall submit a brief report to A.I.D. indicating how the purposes of the travel were accomplished.

## D. OPERATIONAL ARRANGEMENTS

### 1. Annual Grant Reports

Reports will be submitted annually on progress under the grant both with respect to overall results, activities of core staff, and any generalizations or conclusions which the grantee may have drawn. The final report under the grant will briefly summarize previous annual reports. The annual report should be prepared for the year ending April 30 and should be submitted to A.I.D. no later than May 30 of the same year.

There shall be a joint annual review and evaluation of the overall progress of action to achieve the purposes of the grant coinciding with the annual 211(d) grant review or at other times as the parties may agree.

### 2. Project Reports

The grantee shall submit annual reports on the specific status and achievements of individual approved activities and a full report at the conclusion of the activity. The report period may be based on the date of A.I.D. approval of the activity or on the date of the submittal of annual grant reports.

In addition, the grantee will submit final project reports that summarize the major findings, major problems and make general recommendations as well as evaluate effectiveness of the undertaking. In addition, the final report will make recommendations which can be applied in pursuit of family planning improvements. A final project report may be submitted in lieu of a yearly project report providing that the period between reports (or the period following approval of a project) does not exceed 15 months.

3. Miscellaneous

After receipt of both the estimate of level of effort and the annual grant report, both of which are due by May 30, TA/POP will schedule a yearly review. The review will be concerned primarily with (a) past performance, (b) determining yearly funding requirements and (c) the mutual desirability of continuing this form of relationship.

In LDCs, the grantee shall bring any urgent operational or policy problems to the attention of the Mission or Embassy to get assistance in resolving them.

For in-country projects of special significance in the country, the Mission may require or the grantee may suggest that a Joint Annual Review and Evaluation be held (such projects shall be identified at the outset at the initiative of the USAID or the grantee).

UNIVERSITY PROGRAMMATIC SERVICES GRANT  
ILLUSTRATIVE PROJECTS FOR  
FY 1971, UNIVERSITY OF NORTH CAROLINA

Project Name	Location	Costs	
		FY 71	FY 71-73
<u>U N I V E R S I T Y   O F   N O R T H   C A R O L I N A</u>			
Population Policy Process Study	Columbia, Chile, Iran India, Tunisia Singapore, Taiwan	\$50,000	\$150,000
Changing Roles for Women	Thailand, India, Iran, Ghana	\$60,000	\$260,000
Leadership Development for Mass Communi- cations on Population	U.S. & LA	\$100,000	\$300,000
Leadership Development for Community Change Agents in Family Planning Programs	U.S.	\$48,000	\$175,000
Research and Training in Surgical Techniques in Family Planning	U.S.	\$40,000	\$120,000
Manpower Planning for Population Programs	U.S. & Re- questing LDC	\$100,000	\$300,000
Behavioral Change Laboratories for Testing Practical, Economical Methods for Family Planning Motivation	U.S. & Re- questing LDC	\$100,000	\$300,000
The Development of a Systematic Instructional Materials Unit	LDCs on re- quest	\$100,000	\$300,000
Evaluation of Mass Communications on Population	U.S. & LDCs	\$100,000	\$300,000
Development of Capacities for National Popu- lation Policy Development	U.S. & Undetermined	\$100,000	\$300,000
The Influence of Population Change on Mass and Elite Political Behavior	U.S. & Undetermined	\$50,000	\$150,000
Studies on Technical Assistance in Popula- tion Programs	U.S. & Undetermined	\$50,000	\$150,000
Possible Population Program Strategies in the United Nations System	U.S. & Undetermined	\$50,000	\$250,000
University Population Program Development	U.S. & Undetermined	N.A.	N.A.

(Continued)

UNIVERSITY PROGRAMMATIC SERVICES GRANT  
ILLUSTRATIVE PROJECTS FOR  
FY 1971, UNIVERSITY OF NORTH CAROLINA

Project Names	Location	Costs	
		FY 71	FY 71-73
<u>U N I V E R S I T Y   O F   N O R T H   C A R O L I N A</u>			
Improved Methods for Estimating Fertility Change in Local Areas of LDCs	U.S. & Undetermined	\$50,000	\$150,000
Leadership Development for Population Statistics	U.S. & Undetermined	\$90,000	\$290,000
An Automated Information System for the Popu- lation/Family Planning Field: . Pilot Study`	U.S. & Undetermined	\$50,000	\$150,000
Non-Clinical Contraceptive Distribution	Undetermined	\$90,000	\$290,000
Family Level Rationales for Birth Control	Undetermined	\$50,000	\$150,000
Research on Nursing Midwifery and Auxiliary Roles in Population Programs	Undetermined	\$50,000	\$150,000

APPENDIX II

PROGRAMMATIC GRANT  
Core Staff and Support Requirements

	<u>YEAR 1</u>	<u>YEAR 2</u>	<u>YEAR 3</u>
<b>SALARIES</b>			
Grant Manager	22,000	23,000	24,000
Research Associate	13,000	13,700	14,400
Statistical Support	12,000	12,600	13,200
Secretarial Support	15,000	15,000	15,000
Evaluation Officer	18,000	18,000	18,000
Research Assistant	6,000	6,000	6,000
Manpower/Institutional Development Officer	18,000	18,000	18,000
Research Assistant	6,000	6,000	6,000
	<hr/>	<hr/>	<hr/>
Sub-Total	\$110,000	\$112,300	\$114,600
<b>FRINGE</b>			
FY'72-13.75%			
FY'73-14.15%	15,125	15,890	16,732
FY'74-14.60%			
<b>CONSULTANTS</b>			
	12,000	12,000	12,000
<b>TRAVEL</b>			
Domestic	4,000	4,000	4,000
International	12,000	12,000	12,000
<b>EQUIPMENT</b>			
	6,000	1,000	1,000
<b>OTHER (data processing, space rental, supplies, postage, duplicating, telephone and cable)</b>			
	9,000	9,500	10,000
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TOTALS	DIRECT	\$168,125	\$166,690
	INDIRECT	16,812	16,670
		<hr/>	<hr/>
GRANT TOTAL	\$184,937	\$183,360	\$187,365
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**TOTAL FOR THREE YEARS: \$555,662**

## APPENDIX III

### FORMATS FOR PROPOSALS UNDER PROGRAMMATIC SERVICES GRANT

#### INTRODUCTION

Twenty copies of proposals should be submitted to the Programmatic Grants Manager in A.I.D. Proposals should be in English language and typed on standard 8 1/2 x 11" paper single spaced with each page numbered consecutively.

Two copies of the proposals must be signed by an individual authorized to bind the organization contractually. In drafting proposals, completeness is important but excessively long and elaborate proposals are not desired. The format for proposals is as follows:

#### FORMAT A, RESEARCH PROPOSALS

##### 1. Cover

Indicate:

- a. That the proposal is made to the Office of Population, Agency for International Development, Washington, D.C. 20523.

##### 2. Title Page

Indicate:

- a. The full legal name and address of the organization submitting the proposal; and the date of submission.
- b. Brief descriptive title of the proposed research.
- c. The name, title, address and telephone number of:
  - i. the principal investigator;
  - ii. the institutional official (e.g., department chairman, dean) authorizing the research proposal;
  - iii. the official authorized to bind the institution contractually.
- d. The statement "This is a high priority project and meets the criteria of the grant", signed by the Director of the Population Center or Programmatic Grant Manager if there is no population center.

3. Table of Contents

Indicate page locations for each of the principal sections of the proposal and additional detail as appropriate.

4. Summary

Provide a brief summary (not to exceed one page) of the research proposed.

5. Description of the Research Proposed should include:

a. Purpose.

Describe the purpose of this research and indicate why the project has high priority at this time.

b. Introduction and Background.

Briefly describe the overall design of the research project, its relation to present knowledge in the field and a summary of the hypothesis or concepts to be studied.

c. Applicable Grant Criteria.

Describe how the proposal meets the criteria and other requirements for funding under the grant as described in Section III, B. 3.

d. Detailed Description of the Study.

This should include a detailed description of methods to be used, the experimental design, data to be collected and its source. An evaluation of the feasibility and limitations of methods to be used should be included. Technical details of any special equipment to be used should be furnished. In providing a detailed description of the studies to be completed, a time schedule for each phase of the research should be included. This description should reflect how all resources, personnel, financial and material will be utilized. Any obstacles, legal, economic etc. which are anticipated and their proposed solution should be discussed. The nature of the understanding with the host country institution, and any agreements on goals, roles, responsibilities, etc. should be described.

e. **Expected End Result.**

Describe the project's practical results and utility to A.I.D. A time schedule of when specific accomplishments are to be expected should be included.

f. **Previous Works in this Area by the Investigators.**

A brief description of previous work relevant to the proposed study should be included. This should include results of any preliminary work or pilot studies and appropriate citations.

g. **Review of Pertinent Work by other Investigators.**

A summary of relevant work by others in the field should be provided. This should include appropriate references to published work.

6. **Scientific Personnel and Their Qualifications**

Describe the role of each worker to be involved in the project including the amount of time each will devote to the project. Provide biographic sketches and pertinent bibliographies on all professional personnel involved. In cooperative projects, the role of each research organization should be described including the site where various activities are to take place.

7. **Budget**

The budget should be presented for the life of the project and for each year. Include total cost of the project, financial contributions from other sources or cost sharing arrangements and financial support required from A.I.D. For each year, a detailed breakdown of the budget into the following categories is required:

- a. Salaries, supported by a list of personnel by title and indicating the percentage of time each will devote to the proposed research, the individuals annual rate of pay and the amount allocated to the proposed research.
- b. Consultant fees. The number of days and daily fee.
- c. Expendable equipment and supplies. General list and statement indicating which items will be consumed in the proposed research.

- d. Travel and subsistence. (U.S. and foreign). Anticipated costs of required travel, indicating purpose and probably duration.
- e. Publication costs. Types of publication costs anticipated, including purchase of reprints.
- f. Other direct costs. Other anticipated direct costs, not included above.
- g. Indirect cost allowable. Current overhead rate approved for use under government contracts and the direct cost base to which it is to be applied, i.e., salaries and wages, total direct costs, etc.
- h. Subcontract - if any: costs of working with indigenous organizations.

List any other U.S. Government support for related research or individuals who will work on the proposed research. Include the proportion of time devoted to other U.S. Government supported research projects.

FORMAT B, NONRESEARCH PROPOSALS

1. Cover

Indicate:

- a. That the proposal is made to the Office of Population, Agency for International Development, Washington, D.C. 20523.

2. Title Page

Indicate:

- a. The full legal name and address of the organization submitting the proposal; and the date of submission.
- b. Brief descriptive title of the proposed activity.
- c. The name, title, address and telephone numbers of
  - i. the activity leader;
  - ii. the institutional official authorizing the proposal;
  - iii. the official authorized to bind the institution contractually.

- d. The statement "This is a high priority project and meets the criteria of the grant," signed by the Director of the Population Center or Programmatic Grant Manager if there is no population center.

3. Table of Contents

Indicate page locations for each of the principal sections of the proposal and additional detail as appropriate.

4. Summary

Provide a one-page or less summary of the activity proposed.

5. Description of the Activity Proposed should include:

- a. Describe the purpose of this activity.
- b. A general description of services, studies or actions proposed, their location(s) and name of the host country implementing agent;
- c. How the proposal meets the grant criteria for funding;
- d. The nature of the understanding with the host country institution, the agreement reached on sub-activity goals and contemplated roles and responsibilities of grantee and the host;
- e. The kinds of results expected, their anticipated impact and multiplier effect and their utility to A.I.D.;
- f. An estimation of the time required for full fruition of the sub-activity. This latter point might also address the longer range plan for continuation of the sub-activity after U.S. funding has been withdrawn;
- g. A description of general strategy proposed for achievement of sub-activity objectives.
- h. Brief description of previous works in this area by the proposed staff.
- i. Summary of relevant work by others in the field.
- j. A plan for evaluation.

6. Technical : Personnel and Their Qualifications

Describe the role of each worker to be involved in the project including the amount of time each will devote to the project. Provide biographic sketches and pertinent bibliographies on all professional personnel involved. In cooperative projects, the role of each organization should be described including the site where various activities are to take place.

7. Budget

The budget should be presented for the life of the project and for each year. Include total cost of the project, financial contributions from other sources or cost-sharing arrangements and financial support required from A.I.D. For each year a detailed breakdown of the budget into the following categories is required.

- a. Salaries, supported by a list of personnel by title and indicating the percentage of time each will devote to the proposed activity, the individuals annual rate of pay and the amount allocated to the proposed activity.
- b. Consultant fees. The number of days and daily fee.
- c. Expendable equipment and supplies. General list and statement indicating which items will be consumed in the proposed activity.
- d. Travel and subsistence. (U.S. and foreign). Anticipated costs of required travel, indicating purpose and probably duration.
- e. Publication costs. Types of publication costs anticipated, including purchase of reprints.
- f. Other direct costs. Other anticipated direct costs, not included above.
- g. Indirect cost allowable. Current overhead rate approved for use under government contracts and the direct cost base to which it is to be applied, i.e., salaries and wages, total direct costs, etc.

- h. Subcontract - if any: costs of working with indigenous organizations.

List any other U.S. Government support for related activities or individuals who will work on the proposed activities. Include the proportion of time devoted to other U.S. Government supported projects.