

9320956 (3)

I. PROJECT IDENTIFICATION

PD-ADD-425-E1

1. PROJECT TITLE

University Services Agreement -
University of North Carolina

679 INDEX ATTACHED

YES NO

2. PROJECT NO. (M.O. 1095.2)
931-11-570-956

3. RECIPIENT (specify)

COUNTRY

REGIONAL INTERREGIONAL

4. LIFE OF PROJECT

BEGINS FY 71

ENDS FY 75

5. SUBMISSION

ORIGINAL

REV. NO. 12/10/71

CONTR./PASA NO. 3325

II. FUNDING (\$000) AND MAN MONTHS (MM) REQUIREMENTS

10p

A. FUNDING BY FISCAL YEAR	B. TOTAL \$	C. PERSONNEL		D. PARTICIPANTS		E. COMMODITIES \$	F. OTHER COSTS \$	G. PASA/CONTR.		H. LOCAL EXCHANGE CURRENCY RATE: \$ US (U.S. OWNED)			
		(1) \$	(2) MM	(1) \$	(2) MM			(1) \$	(2) MM	(1) U.S. GRANT LOAN		(2) COOP COUNTRY	
										(A) JOINT	(B) BUDGET		
1. PRIOR THRU ACTUAL FY	1,083	556					1,083						
2. OPRM FY 1972	1,000	-					1,000	1,000					
3. BUDGET FY 1973	1,000	190					810	1,000					
4. BUDGET +1 FY 1974	1,000	190					810	1,000					
5. BUDGET +2 FY 1975	1,000	60					940	1,000					
6. BUDGET +3 FY													
7. ALL SUBQ. FY													
8. GRAND TOTAL	5,083	996					4,087	5,083					

9. OTHER DONOR CONTRIBUTIONS

(A) NAME OF DONOR	(B) KIND OF GOODS/SERVICES	(C) AMOUNT
LDC's to be determined	n/a	\$1,430,595 (estimated)

III. ORIGINATING OFFICE CLEARANCE

1. DRAFTED BY William E. Allen Alvin S. Lackey	TITLE Project Monitor Chief, MID/TA/POP	DATE 12/14/71
2. CLEARANCE OFFICER R. T. Ravenholt	TITLE Chief, Office of Population, TA	DATE 12/14/71

IV. PROJECT AUTHORIZATION

1. CONDITIONS OF APPROVAL

2. CLEARANCES

BUR/OFF.	SIGNATURE	DATE	BUR/OFF	SIGNATURE	DATE
TA/POP	H. L. Woods	12/14/71	LA/DP	Jack Heller	11/19/71
AFR/TAC	Princeton Lyman (memo)	11/23/71	NESA/TECH	James Blume	12/10/71
EA&SA/IR/TECH	Edgar Owens (memo)	11/30/71	TA/PM	KSLevick/JHKean DATE 1/15/72	1/13/72

3. APPROVAL A/S OR OFFICE DIRECTORS

SIGNATURE: S.H. Butterfield, AA/TA
DATE: 12/22/71
Assoc. Ass't Admin. TAB

4. APPROVAL A/AID (See M.O. 1025.1 VIC)

SIGNATURE: _____ DATE: _____
ADMINISTRATOR, AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT NO. 931-11-570-956	SUBMISSION <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REVISION	(Number)	DATE 12/72	PAGE 2 of 8 PAGES
--------------------------------------	--	----------	----------------------	---------------------------------

NON-CAPITAL PROJECT PAPER (PROP)**University Services Agreement -- University of North Carolina****A. STATEMENT OF THE GOAL**

1. **The Goal:** To strengthen LDC capabilities to resolve problems impeding the progress of LDC family planning/population programs.
2. **Measurements of goal achievement:**
 - a. Increased ~~number~~ number of LDC institutions involved in activities to resolve problems impeding progress of fp/pop programs.
 - b. Demonstrated effectiveness and efficiency of LDC institutions in analyzing problems and in planning and implementing activities for the resolution of these problems.
 - c. Slowing of the fertility rate.
3. **Assumptions about goal achievement:**
 - a. That LDC leaders will be motivated to focus on fp/pop problems and responsive to suggested changes.
 - b. That restrictive government ; regulations impeding implementation of fp/pop programs will be minimized.
 - c. That cultural, social and political climate in countries is sufficiently flexible to permit significant meaningful impact.
 - d. That LDC leadership will recognize and utilize the improved ~~skills~~ skills of the LDC counterpart institutions.
 - e. That decisions made as a result of completed projects will be politically feasible.

B. STATEMENT OF PROJECT PURPOSE

1. **The purpose:** To utilize U.S. institutional capacities in assisting LDCs to develop and implement activities in pop/family planning.
2. **Conditions expected at end of project:** Evidence that the U.S. university has developed linkages with LDC institutions for the provision of assistance in resolving family planning/population programs in LDCs.
3. **Basic assumptions about achievement of purpose:**
 - a. That the resources and capabilities of U.S. universities can be appropriately utilized by LDCs in identifying and analyzing "bottlenecks" and for developing and implementing activities for the resolution of these problems.
 - b. That LDC leadership is receptive to U.S. universities in the problem-solving process.

PROJECT NO. 931-11-570- XXXXXXXX 956	SUBMISSION <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REVISION _____	(Number) _____	DATE _____	PAGE 3 of 89 PAGES
--	--	----------------	------------	--------------------

C. PROJECT OUTPUTS**1. Outputs**

- a. Collaborative arrangements between the U.S. and LDC institutions established.
- b. Projects which reflect LDC priorities undertaken jointly with LDC involvement and support.
- c. Recommendations for improved policy and/or program measures presented.

2. Output Indicators

- a. Number of projects undertaken jointly with LDC institutions aimed at answering LDC policy and/or program questions.
- b. Number of institutional relationships established.

3. Basic Assumptions

- a. The LDC institutions will accept U.S. University assistance to resolve priority policy and/or program questions.
- b. LDC institutions will be willing and able to provide financial, personnel and other resources to support jointly planning projects.

D. PROJECT INPUTS

1. Inputs - The inputs for this project are the funds which will be used to develop projects and to manage the agreement itself. These funds can be divided into (a) core support and (b) sub-projects.
*and implement

2. Implementation Schedule

Funding by Fiscal Year is projected as follows:

<u>A.I.D.</u>	<u>1971</u>	<u>1972</u>	<u>1973</u>	<u>1974^m</u>	<u>1975</u>
Core	\$1 555,662	\$ ---	\$ 190,000	\$ 190,000	\$ 60,000
Sub-projects	527,413	1,000,000	810,000	810,000	940,000
Sub-Total	\$1,083,075	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000
<u>LDC</u>					
Sub-projects*	188,595	350,000	283,500	283,500	329,000
<u>TOTAL</u>	\$1,267,670	\$1,350,000	\$1,283,500	\$1,283,500	\$1,329,000

*Assume that on the average the LDC institutions will contribute resources equal to 35% of those contributed by A.I.D. for sub-projects.

PROJECT NO. 931-11-570-956	SUBMISSION (Number)		DATE	PAGE <u>3a</u> of _____ PAGES
	<input type="checkbox"/> ORIGINAL	<input type="checkbox"/> REVISION _____		

a. Core Support

Core support is designed to permit the institution to manage the Agreement and to develop proposals for new projects under the Agreement without diminishing other on-going activities at the Institution. Core support consists of salaries for a core staff, travel expenses, a small amount of equipment and a few other minor items. Core support has been funded in advance for three years in order to permit the university to attract staff and engage in sound planning for future activities.

The core support budget is as follows:

ITEM	Year 1	Year 2	Year 3
A. <u>Personal Services</u>	<u>\$100,000</u>	<u>\$103,700</u>	<u>\$109,600</u>
1. Program Director	22,000	23,000	24,000
2. Research/Evaluation Administrative Officer	17,500	18,000	18,500
3. Secretary	6,500	7,000	7,500
4. Project Development & other professional and secretarial	54,000	55,700	59,600
B. Fringe Benefits	13,750	14,673	16,001
C. Equipment	6,000	1,000	1,000
D. Other Program Support (incl. suppl.)	9,000	9,500	10,000
E. Travel and Per diem	30,920	22,312	21,692
F. Consultants	12,000	12,000	12,000
G. Indirect Costs	17,167	16,318	17,029
<u>TOTAL</u>	<u>\$188,837</u>	<u>\$179,503</u>	<u>\$187,322</u>

Three year total: \$555,662

PROJECT NO. 931-11-570-956	SUBMISSION	(Number)	DATE
	<input type="checkbox"/> ORIGINAL	<input type="checkbox"/> REVISION	

PAGE 5 of 9 PAGES

b. Sub-projects

Four sub-projects have been funded with FY 71 funds. ~~XXXXXXXXXXXX~~
~~XXXXXXXXXXXX~~ The size, number and nature of future projects cannot be determined at this time.

3. Basic Assumptions

The university will be able to (1) organize and use its professional resources on a University-wide basis, (2) set up the administrative machinery to facilitate the smooth implementation of projects and (3) establish an evaluation/record keeping system for assessing the progress and contribution of each project as well as the overall grant instrument.

The provision of project development funds will enable the University to send its professionals overseas to discuss and jointly determine with LDC representatives what the LDC priority questions are which might be answered through jointly funded and staffed projects of a small low-cost nature.

E. Rationale

National family planning and population programs represent relatively recent approaches toward development for many LDC's. Development assistance in the population area is also a recent activity on the part of the United States and other donors. Much activity has been generated, but much more needs to be done. New programs need to be instituted and existing programs expanded and improved. Practical knowledge concerning the social, political and economic forces which influence family planning decision making from the national to family level must be increased, codified and broadly disseminated. Practical research, experimentation, demonstration, pilot projects capable of reproduction, special studies and surveys are needed in several important areas. New measuring devices need to be developed for assessing population change and evaluating programs; attention needs to be given to how best to organize and manage program operations; manpower planning, training and utilization will require increased attention if programs are to be conducted successfully and efficiently; studies of attitude change, policy formation and the process through which fertility regulation is accepted and instituted are needed for improved program planning; ways to strengthen institutional capacity for program implementation and support within each country need to be devised; improved methods of fertility regulation need to be developed and practiced; and improvements in the delivery system both public and private need to be found in order that acceptable services can be available to all who want them. All of these needs and others face most LDC's in one form or another as they move forward within their policy and programming in population/family planning.

The objective of AID assistance is to help the LDC's in the organization and implementation of their programs and in the resolution of difficulties which impede the achievement of efficient/effective operations. This requires that the U.S. have its own institutional base of professional resources which are experienced and available for LDC use. To provide such resources AID has made a substantial investment in several U.S. institutions. This investment has been largely 211(d) authorized grants to specific universities to enable them to develop their capacity for providing population/family planning assistance to LDC's. These institutions

PROJECT NO. 931-11-570-956	SUBMISSION <input type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION _____	(Number) _____	DATE _____	PAGE 5 of 8 PAGES
-------------------------------	---	----------------	------------	-------------------

are University of Hawaii, Johns Hopkins University, University of Michigan and University of North Carolina.

Now that a good start has been made in developing these resources, a mechanism is needed by which they can be best employed in providing assistance on a broad scale to meet the needs of the LDC's. It is believed that by providing funds to these schools for joint project development with LDC representatives that the resources developed with prior funding will be used in an optimum manner for the purposes for which they were developed.

F. COURSE OF ACTION

1. Implementation Plan

	First Year	Second Year	Third Year
July	Work out project development guidelines.	Enter into discussions with LDC representatives for project identification.	Enter into discussions with LDC representatives for project identification.
Aug.		Begin implementation of projects funded in previous yr.	Continue project implementation.
Sept.		Develop and submit projects for funding.	Develop and submit projects for funding.
Oct.		Continue project implementation	Continue project implementation
Nov.		Review and fund approved projects.	Review and fund approved projects.
Dec.	Enter into discussion with LDC representatives for project identification.	Continue project implementation	Continue project implementation
Jan.		Begin implementation of new projects.	Begin implementation of new projects.
Feb.	Develop and submit projects for funding	Continue project implementation	Continue project implementation
Mar.		Continue implementing all projects.	Continue implementing all projects.
Apr.	Review and fund approved projects		
May			
June			

PROJECT NO. 931-11-570-956	SUBMISSION <input type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION	(Number)	DATE	PAGE 67 of 98 PAGES
-------------------------------	---	----------	------	---------------------

g. Implementation Statement

a. Development of Project Proposals

activities ~~activities~~ **The core support funds in the University Services Agreement contain project development monies provided for the specific purpose of developing projects that meet the objective of the University Services Agreement. It is expected that the travel funds provided will be used to send University representatives to individual LDC's to perform the functions indicated below. At the end of each such trip, the University will report on the activities conducted to the USAID and prepare a written trip report for AID/W according to a format which will be prescribed by AID in the near future.**

The procedural steps for project development require the University to do the following (except where actions by AID or LDC/s are specifically prescribed):

- 1) Advise AID/W of the purpose, country and time of visit, institutions to be contacted (if known), and obtain travel approval.
- 2) Enter into informal discussions with LDC sources and the AID Mission to:

- a) Obtain from LDC sources a statement of POP/FP priority needs in general area(s) in which the University intends to develop proposals. The sources from which the University intends to obtain such a statement shall have the advance concurrence of the Mission as being competent to speak for the LDC in these general areas.

The LDC source(s) may be an education/research institution, a ministry of national government, a state government, a private agency or other organization which has an important program or policy responsibility related to the country's population/family planning efforts. The priority needs should represent problems being faced by the LDC organization in the implementation of its family planning responsibilities.

- b) Develop a summary statement showing what the LDC and other organizations are doing in relation to these priority needs, including what other activities the University is performing or plans to perform in that LDC with AID or other sources of funds; and
 - c) Prepare an outline description of the project(s) which the University and LDC institution(s) want to jointly undertake and explain the relative priority of the project as compared to other projects that could be undertaken to meet the specified need.
- 3) Obtain USAID concurrence to develop specific project proposals.
 - 4) For each project:
 - a) Develop jointly with the LDC a project proposal describing the activity according to the format prescribed by AID. In the development of any such proposal, the University will

PROJECT NO. 931-11-570-956	SUBMISSION		(Number)	DATE
	<input type="checkbox"/> ORIGINAL	<input type="checkbox"/> REVISION		
PAGE 7 of 6				PAGES

consult with other universities having University Services Agreements to insure coordination and avoid duplication. The University will submit the proposal to Mission and AID/W for approval. AID/W will be prepared to approve only those projects given approval by the Missions.

- b) AID/W reviews the proposal for final approval
- c) Funds are obligated with conditions precedent to disbursement as specified by AID.
- d) Enter into formal negotiations with LDC representatives to reach agreement on the project so that it will meet the conditions precedent to disbursement within the time allowed.
- e) Certify to AID/W that conditions precedent have been met.

During development of the projects with these funds, no binding commitment shall be made to any persons or institutional representatives in the LDC or U.S. regarding approval of the projects or employment on the projects until AID approves the projects and obligates the funds (subject to any conditions precedent).

d. Narrative Statement (criteria)

To be approved under the University Services Agreement, each project proposal must be in conformity with the terms and conditions of the agreement and meet the following minimum criteria:

- 1) The project will be developed according to procedural steps listed above with the clearances and approvals as indicated.
- 2) The proposal has been prepared with LDC representatives and will specify the extent to which LDC personnel, funds, administrative support and other financial or in-kind inputs are to be used in the implementation.
- 3) The project is small, not to exceed \$50,000 per year, and short-range, not to exceed three years.
- 4) The project is experimental, innovative and/or prototypical or will result in the addition of information or data not now available in useable form.
- 5) The proposal is adequate with respect to (a) cost, (b) level of effort, (c) methodology (including scientific merit), (d) personnel (competence and number), (3) facilities and other resources.

PROJECT NO. 931-11-570-956	SUBMISSION <input type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION _____	(Number) DATE	PAGE 8 of 8 PAGES
--------------------------------------	---	---------------	---------------------------------

In some cases, project proposals which are non-country specific, (e.g., basic biomedical investigations) or which are cross-national or multi-national studies or which involve analysis of LDC data in the United States may be submitted. In these cases, before engaging in substantial efforts to develop a detailed proposal, the University will obtain the written concurrence of the Grant Manager. For such proposals, Criteria Nos. 1 and 2 may be waived by AID.

Each proposal must be approved by AID's Office of Population and, if it is to be implemented, in part or in total, in an LDC, by the AID Regional Bureau and appropriate USAID.

In the absence of a USAID Mission, all references above to USAID apply to the American Embassy official responsible for Population/Family Planning matters.

c. Review of Proposals

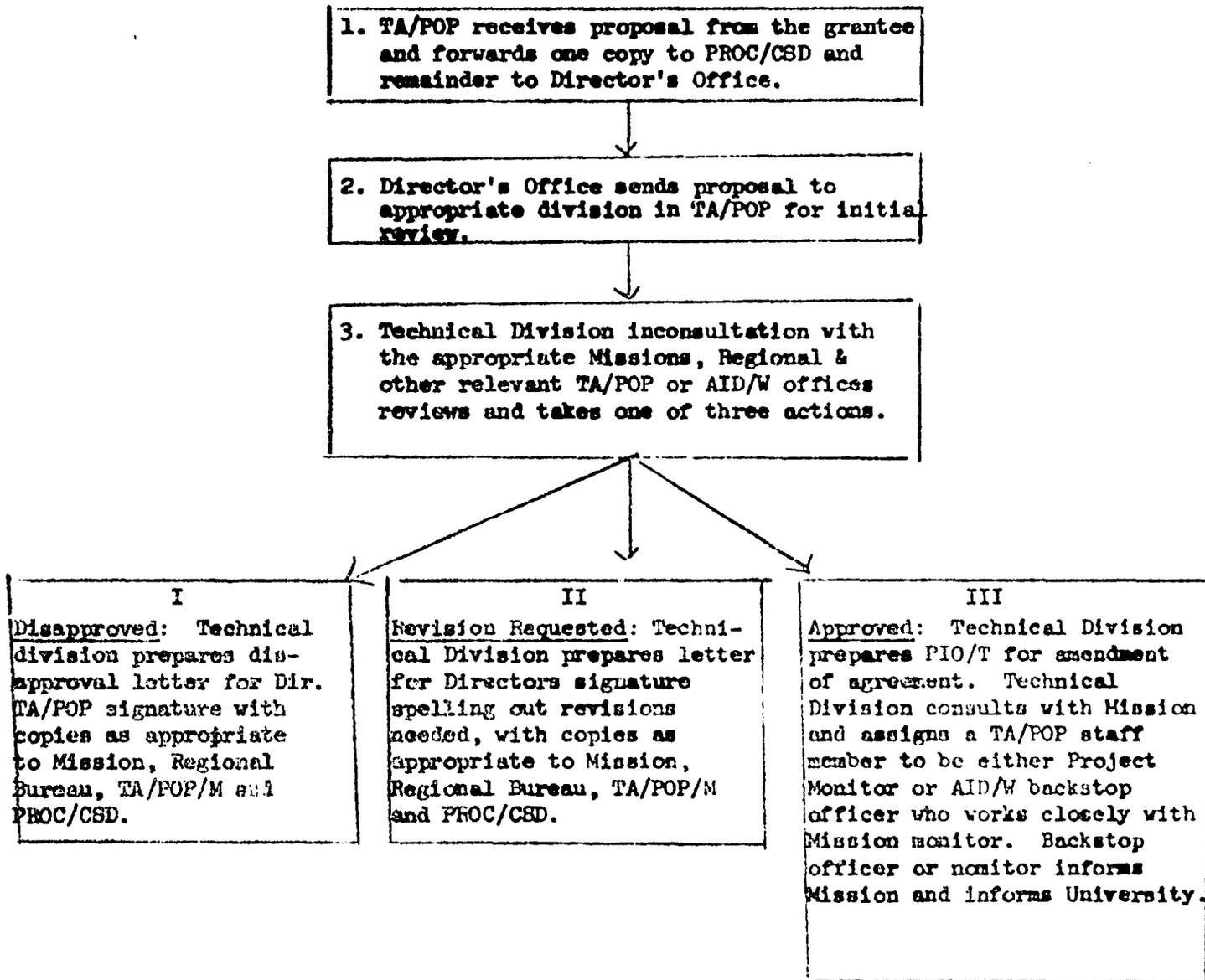
Project proposals will be reviewed in TA/POP according to the system outlined in Attachment I.

PROJECT NO. 981-11-570-986	SUBMISSION	(Number)	DATE
	<input type="checkbox"/> ORIGINAL	<input type="checkbox"/> REVISION	

PAGE 1 of 1 PAGES

ATTACHMENT I

PROCEDURE FOR TA/POP REVIEW AND APPROVAL OF PROPOSALS SUBMITTED UNDER UNIVERSITY SERVICES AGREEMENTS



I
Disapproved: Technical division prepares disapproval letter for Dir. TA/POP signature with copies as appropriate to Mission, Regional Bureau, TA/POP/M and PROC/CSD.

II
Revision Requested: Technical Division prepares letter for Directors signature spelling out revisions needed, with copies as appropriate to Mission, Regional Bureau, TA/POP/M and PROC/CSD.

III
Approved: Technical Division prepares PIO/T for amendment of agreement. Technical Division consults with Mission and assigns a TA/POP staff member to be either Project Monitor or AID/W backstop officer who works closely with Mission monitor. Backstop officer or monitor informs Mission and informs University.