

AGENCY FOR INTERNATIONAL DEVELOPMENT
PROJECT DATA SHEET

1. TRANSACTION CODE
 A = Add
 C = Change
 D = Delete
 Amendment Number _____

DOCUMENT CODE
3

2. COUNTRY/ENTITY
WorldWide

3. PROJECT NUMBER
936-5052

4. BUREAU/OFFICE
S&T/RUR

5. PROJECT TITLE (maximum 40 characters)
External Technical Review

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)
MM DD YY
09 30 93

7. ESTIMATED DATE OF OBLIGATION
(Under "B" below, enter 1, 2, 3, or 4)
A. Initial FY 86 B. Quarter 4 C. Final FY 93

8. COSTS (\$000 OR EQUIVALENT \$1 =)

A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	()	()	(300,000)	()	()	(2,600,000)
(Loan)	()	()	()	()	()	()
Other U.S.						
1.						
2.						
Host Country						
Other Donor(s)						
TOTALS			300,000			2,600,000

9. SCHEDULE OF AID FUNDING (\$000)

APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
WARDN				159,466		765,000		924,466	
HE				536,972		935,000		1,471,972	
SDA				141,600		61,962		203,562	
TOTALS				838,038		1,761,962		2,600,000	

10. SECONDARY TECHNICAL CODES (maximum 5 codes of 3 positions each)

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code _____ B. Amount _____

13. PROJECT PURPOSE (maximum 480 characters)

To provide an external review and evaluation mechanism for S&T projects through the U.S. scientific community.

14. SCHEDULED EVALUATIONS

Interim MM YY MM YY Final MM YY
07 92

15. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 Local Other (Specify) _____

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a _____ page PP Amendment.)

To extend the project to 9/30/93 and to raise the Life of Project Total to \$2,600,000 from \$970,000

17. APPROVED BY
Signature
Title: Curtis Jackson, Director, S&T/RUR
Date Signed: MM DD YY 10/10/93

18. DATE DOCUMENT RECEIVED BY AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION:
MM DD YY

4. Sources and Origin of Commodities, Nationality of Services

a. Commodities (if any) that may be financed by A.I.D. under this project shall have their source and origin in the United States or the cooperating country unless A.I.D. otherwise agrees in writing. Except for ocean shipping, the suppliers of commodities or services shall have the United States or the cooperating country (when applicable) as their place of nationality, except as A.I.D. may otherwise agree in writing.

b. Ocean shipping financed by A.I.D. under this project, shall, except as A.I.D. may otherwise agree in writing, be financed only on flag vessels of the United States registry.



N. C. Brady
Senior Assistant Administrator
Bureau for Science and Technology

4/13/89

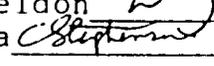
_____ Dates

*Any country in A.I.D. Geographic Code 935 in which a research grant is implemented is deemed to be a cooperating country for purposes of such research grant.

Clearances:

S&T/PO: DSheldon 

Date 4/10/89

GC/CP: STisa  for ST

Date 3 28 89

EXTERNAL REVIEW AND EVALUATION OF A.I.D. PROJECTS

Contract No. DAN 5052-0-00-6037

Projects Undertaken by the
Board on Science and Technology for International Development
National Research Council

October 1986 through December 1988

I. Special Studies	<u>Date Completed</u>
1. Proposal Evaluation: Animal Vaccines	September 1987
2. Program Evaluation: Caribbean Mariculture	March 1988
3. Program Evaluation: Agricultural Marketing Improvement Strategies	Phase I: In Progress Phase II: Early 1990
4. Review of AID HBCU Research Grants Program	January 1989
5. The World Food Situation in the 1990s and Need for U.S. Food Aid	Expected February 1989
II. Research Advisory Committee	<u>Meeting</u>
1. Nutrition Research in A.I.D.	September 1987
2. Safeguards in A.I.D. Agricultural Biotechnology	September 1987
3. Issues of Aging in Developing Countries	January 1988
4. Sustainable Agriculture	January 1988
5. Future S&T Relationships of A.I.D. with Advanced Developing Countries	March 1988
6. A.I.D. Fisheries Development and Research	June 1988
7. Educational Technologies and A.I.D. Programs	June 1988
8. Basic Education in Developing Countries	October 1988
III. Review of Research Proposal from the Historically Black Colleges and Universities (HBCU)	
1. HBCU Panel #1 (Health and Nutrition)	March 1987
2. HBCU Panel #2 (Agriculture)	May 1987
3. HBCU Panel #3 (Health)	May 1987
4. HBCU Panel #4 (Agriculture)	January 1988
5. HBCU Panel #5 (Health/Health Sciences)	January 1988
6. HBCU Panel #6 (Health/Health Sciences)	December 1988
7. HBCU Panel #7 (Agriculture)	November 1988

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON D C 20523

MAR 27 1989

ACTION MEMORANDUM FOR THE SENIOR ASSISTANT ADMINISTRATOR,
BUREAU FOR SCIENCE AND TECHNOLOGY

FROM: S&T/RUR, Curtis Jackson 
SUBJECT: Renewal of Project 936-5052, Project Review

Problem: Your authorization is requested to amend the Project for External Technical Review (936-5052) to extend the Project Assistance Completion Date from September 30, 1989 to September 30, 1993 and to increase the authorized life of project cost from \$970,000 to \$2,600,000 of which \$1,761,962 will be spent during the period FY 1989-FY1993.

Discussion: This project began in 1983 as a RSSA with the National Science Foundation which was funded from the Small Activities Project at \$528,000 and is not included in the proposed \$2,600,000 life of project costs given above. A separate project was established as a contract with BOSTID of the National Academy of Sciences in September 1986. The project has proven to be a very effective means of providing advice to A.I.D. from the science and technology community in the U.S. While at the National Science Foundation, 54 panels were organized mainly to advise A.I.D. project managers on on-going projects or to recommend proposals for funding from those submitted in response to RFP's. A total of 21 panels have been organized during the two years the project has been at BOSTID, but many of these panels have been concerned with providing advice to the Research Advisory Committee on broad scientific areas of concern to the Agency, and have required larger efforts than the earlier panels at NSF (Attachment 3).

We recommend that contract negotiations be undertaken with BOSTID for the continuation of these services without competition. In 1986, BOSTID was found to be uniquely able to provide the broad range of technical advice A.I.D. needs, and this appears to us to be even more so after more than two years of experience. If such a waiver is not possible, we will request a competitive selection.

The proposed scope of work (Attachment 1) is unchanged from the original contract with BOSTID.

Subject to the availability of funds, the following funding of the project is proposed:

FY 1989	\$ 300,000
FY 1990	310,000
FY 1991	311,962
FY 1992	320,000
FY 1993	320,000
Buy-in Provision	200,000
Total	<u>\$1,761,962</u>

We estimate Life-of-Project funding will be distributed among the funding accounts as follows:

Agriculture:	\$ 924,466
Health	1,471,972
Special Development	<u>203,562</u>
Total	\$2,600,000

This project was evaluated in FY 1988 and will undergo another evaluation in FY 1992.

Recommendation: That you sign the attached PAF (Attachment 2) that establishes total life of project cost of this project at \$2,600,000, of which \$300,000 is the planned obligation during FY 1989, and that authorizes the project through FY 1993.

Attachments:

1. Scope of Work
2. PAF
3. List of Panel Meetings FY 1986-FY1989

Clearances:

S&T/PO: DSheldon [Signature] Date 11/13/88
DAA/S&T: BLangmaid [Signature] Date 4/11/89
GC/CP: STisa [Signature] Date 3/28/89

S&T/RUR: FO'Quinn: foq: 3/27/89: 59962: 875-4094

STATEMENT OF WORK

External Review of A.I.D. Science and Technology Projects

Background - The Agency for International Development places strong emphasis on science and technology in its programs. These programs anticipate (1) The identification of strategic problems of the less developed countries where new scientific developments can be effectively employed, (2) An increase in the research and technically complex components of proposals and projects, and (3) an enhanced effort to evaluate research projects under A.I.D. sponsorship. A.I.D. wishes to involve members of the U.S. scientific community in this activity.

A.I.D. seeks to obtain advisory services from U.S. technical experts through a qualified scientific institution. The selected institution would advise A.I.D. on new areas of science and technology which might be useful to the A.I.D. program and on the methodological soundness of new research proposals and ongoing science and technology projects. The institution will, in addition, provide expertise to develop information on research policy issues under consideration by A.I.D.

The institution selected should have a large in-house staff of professionals in various science and engineering disciplines as well as professionals with work experience in many different developing countries. These professionals will advise A.I.D. as to the type of expertise needed on particular review panels and occasionally serve as reviewers.. In addition, the institution will need ready access to numerous external reviewers who will be the main source of technical advice to A.I.D.

Purpose of this Scope-of-work - The purpose of this work statement is to define the scope of activities to be undertaken by a selected institution to provide A.I.D. with an external advisory capability in projects and proposals involving significant elements of science and technology.

Scope-of-work

1. The contractor will identify and convene panels of external reviewers who will:

- Advise Bureau for Science and Technology on potential applications in A.I.D. projects of new scientific developments or new areas of science.

- review and advise A.I.D. on the scientific and methodological soundness of new research proposals. This may take the form of the final review of the research proposal or it may involve advice at the early stages of project development. For example, the panel may advise on the content of the project design, i.e. on the selection of proposals that best address the problems identified in the project design, or even on changes that may be necessary in the project during implementation.
- Evaluate and advise A.I.D. on problems or other need for modifying ongoing projects with significant research or technically complex components. This will occasionally necessitate visits by members of the panel to project sites.
- Develop scientific information through expert panel discussions for A.I.D. use in the evaluation of research policies and priorities. Much of this information will be utilized by the Research Advisory Committee in evaluating A.I.D. research policies.

2. The Role of A.I.D.'s Office of Research and University Relations will be to:

- Identify items to put before the external advisory panels for comment. "Project evaluations for projects which have significant research components, research proposals, and Project Identification Documents" will constitute the usual agenda of the advisory panel meetings.
- Establish criteria to be considered in the evaluation of proposals and projects. The criteria to be used initially are given in a subsequent section of this document; however, these may be modified from time to time by A.I.D.
- Set the timeframe for advisory activities taking into consideration the need for time to deliver items to panel members in advance of the scheduled meeting, and the need of panel members for time to study these materials in advance of the panel meeting.
- Suggest the types of expertise and experience appropriate for individual panels. The contractor will select panel members.

- Participate in the panel meetings as resource persons such as (a) the A.I.D. Program Officer who can provide the background and context of a specific project and listen to the panel discussion, and (b) senior A.I.D. officers responsible for relevant agency policy and precedents.

Review Criteria for Research Projects

1. Relevance to Development - All projects in the science and technology area should be concerned with the development of new resources, new approaches to development or overcoming obstacles to development in low or middle-income countries.
2. Quality of Science - Are the most appropriate hypotheses being tested? The objective is to avoid funding research or other scientific enterprises that have already been done or projects which are based on outdated scientific principles. Some projects will have applications from several disciplines, not all of which are based on the latest scientific developments. The substance of the proposal must be good.
3. Soundness of the Proposed Methodology - Even when the science of the project is of high quality, tests of hypotheses or applications of the science can be carried out poorly because of inappropriate methodology. For example, are the statistical sampling and analytic design of the project sound?
4. Equipment - Justification for permanent equipment requests should demonstrate that the instrumentation is appropriate and needed for the successful execution of the project.
5. Institutional Capabilities and Experience - The institution, and not just the individuals involved, must have the capability to carry out the proposed work. Specifically, the reviewers should ask: Is there evidence that the principal researcher (or other technical persons) and his/her supporting staff are highly qualified? Is the institution committed to provide adequate staff for the project throughout the life of the project? Does the institution have available other required ancillary resources to carry out the project? Are other institutions more capable and willing to carry out this activity?
6. Cost effectiveness - Is there a more cost-effective way of accomplishing the end results? Do the benefits that are likely to accrue justify the costs? Is the project concerned with a program for which A.I.D. has assigned a high priority for support?

7. Utilization of product - Is the proposed project likely to result in use of products which will contribute to A.I.D.'s development goals?

Advisory Nature of Reviews - The objective of the review process will be to obtain comments and recommendations of experts which can be taken into consideration before A.I.D. makes funding decisions.

Site Visit Evaluations - Advisory panels may be asked to review projects in various stages of planning or implementation. Occasionally, it may be necessary to acquire data on project impact through a site visit by an expert panel. When deemed necessary by the Office of Research and University Relations, the contractor will arrange for such site-visit panels. For each site visit, the Office of Research and University Relations will provide the contractor with detailed advice regarding scope-of-work. For ongoing projects, the teams will generally evaluate the project and make specific recommendations on the following:

1. Is the project being carried out according to plan?
2. Are the researchers, professional persons, or technicians those who were agreed to or persons with equal or better qualifications?
3. Has the project encountered unexpected obstacles or difficulties which might justify delays, revisions, added expenses, or perhaps termination?
4. Is the project generally on schedule and capable of fulfilling its objectives?
5. In general, have acceptable scientific and technological methods been employed by the contractor in his work?
6. When applicable, are there good relations between the organization conducting the project and host government counterparts?
7. Should the original project design be modified based on experience thus far?

New Scientific Areas - Occasionally, A.I.D. will want to explore the possibility of undertaking activities in new areas of science to take advantage of scientific breakthroughs or other scientific advances. The contractor will be asked to

convene expert panels to review the new field and to advise A.I.D. on those activities which should be explored further as potential areas for projects.

Reports - The contractor will submit, 30 days after the completion of any review, evaluation, or other such activity, a report to the Office of Research and University Relations summarizing the major findings, comments, and recommendations for each project or program reviewed. The reports will address specific issues identified above as well as the main consensuses of the panels and significant dissenting views of individuals on any aspect of the project reviewed. Five copies of the report will be submitted to A.I.D.

Estimated Level of Effort - The following levels of effort are estimated:

1. Panel Meetings - A total of 20 panel meetings a year with each meeting lasting one day plus an additional day of preparatory work for panelists.

2. Evaluation Team Site Visits - It is estimated that approximately seven site visits of about seven days duration each will be accomplished annually. The evaluation team will consist of two or three persons each.

3. Use of Staff and Consultants - The contractor will provide the necessary staff to organize the work of the review panels and production of their reports. In addition, consultants will be provided from time to time to develop information and suggest options on matters of research policy and priorities of interest to A.I.D.

Budget

External Review Panels/AID
Estimate of Costs

1. Salaries & Wages			
A. Professional			
Professional Associate FT @			
12 mos. @ \$45,700/yr.	\$45,700		
Professional Assistant FT @			
6 mos. @ \$25,500/yr.	12,750		
B. Salary Adjustment	2,192	\$60,642	
C. Secretarial-Clerical			
Administrative Secretary FT @			
12 mos. @ \$19,811/yr.	19,812		
D. Salary Adjustment	<u>743</u>	<u>\$20,555</u>	\$81,197
2. Fringe Benefits @ 22% of Salaries & Wages			17,865
3. Overhead @ 63% of Salaries & Fringe Benefits			62,410
4. Consultants--21 @ \$200/day x 7 days			29,400
5. Travel			
Domestic--Panels			
5 x 18 meetings @ 3 days ea. mtg.	47,700		
International--Panels			
6 @ \$3,960		<u>23,760</u>	71,460
(airfare @ \$3,200 (U.S.-Asia/Africa)			
(+ 7 days @ \$80/day + \$200 inc.)			
6. Other Direct Costs			
Reproduction and Duplicating			
Copying			
185,000 copies @ .035/copy		6,475	
Telephone & Telegraph @ \$75/mo.	900		
Postage & Delivery @ \$80/mo.	960		
Equipment Maintenance	750		
Meeting Expenses	428		
Books, periodicals, searches	400		
Office Supplies	<u>485</u>	<u>3,023</u>	10,398
8. General and Administrative Costs			
@ 10% of all of above items			<u>27,270</u>
Total			<u>\$300,000</u>