

PL-112-1149
R.A. 62916

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

SEP 9 1987

Mr. Charles R. Fay
Grant and Contract Officer
Cornell University
Office of Sponsored Programs
120 Day Hall
Ithaca, New York 14853-2801

Subject: Matching Support Grant No. DAN-5060-G-SS-7033-00
for the Proposal entitled "Africa Agricultural
Development Support" (936-5060)

Dear Mr. Fay:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D.") hereby grants to Cornell University (hereinafter referred to as "Grantee" or "University" the sum of \$30,000 to provide support for its "Africa Agricultural Development Support" program. This is more fully described in Attachment 2 entitled, "Program Description."

This Grant is effective and obligation is made as of the date of the Grant Officer's signature, and shall apply to commitments made by the Grantee in furtherance of program objectives through the estimated completion date of September 30, 1988.

The total estimated amount of the program is \$98,288, of which A.I.D. will provide \$30,000, and the Grantee will provide \$68,288. The amount of \$30,000 is obligated herein, thereby satisfying A.I.D.'s funding requirements.

This Grant is made to the Grantee on condition that the funds will be administered in accordance with the terms and conditions as set forth in this Cover Letter, Attachment 1 entitled "Schedule," Attachment 2 entitled "Program Description," and Attachment 3 entitled "Standard Provisions," which together constitute the complete Grant document and have been agreed to by your organization.

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9/30/87

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Please sign the original and eight (8) copies of this letter to acknowledge your acceptance of this Grant, retain one copy for your files, and return the original and seven (7) copies to the undersigned. Please ensure that all copies stamped "Funds Available" are returned.

Sincerely,



Jay M. Bergman
Grant Officer
Chief, Food and Agriculture Branch
A.I.D./W Projects Division
Office of Procurement

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions

ACKNOWLEDGED:

CORNELL UNIVERSITY

BY: Jack W. Lowe

Jack W. Lowe, Director

TYPED NAME: Office of Sponsored Programs

TITLE: _____

DATE: 7/12/50

FISCAL DATA

A. GENERAL

- A.1. Total Estimated Amount: \$30,000
- A.2. Total Obligated Amount: \$30,000
- A.3. Project No.: 936-5060
- A.4. A.I.D. Project Office: S&T/RUR, Handy Williamson, Jr.
- A.5. Funding Source: A.I.D./W
- A.6. DUNS No.: 00-225-4837
- A.7. LOC No.: 72-00-1517

B. SPECIFIC

- B.1.(a) PIO/T No.: 936-5060-7361258
- B.1.(b) Appropriation: 72-1171021.3
- B.1.(c) Allotment: 743-36-099-00-20-71
- B.1.(d) Budget Plan Code: DDNA-87-13600-KG11
- B.1.(e) Amount: \$30,000

Attachment 1

Schedule

A. Purpose of Grant

The purpose of this Grant is to provide assistance and support to Cornell University in furtherance of the "Africa Agricultural Development Support Program." This program is described in more detail in Attachment 2 of this Grant entitled, "Program Description."

B. Period of Grant

The Grant is effective as of the date of the Grant Officer's signature, and the estimated completion date is September 30, 1988.

C. Amount of Grant and Payment

- C. 1. A.I.D. hereby obligates the amount of \$30,000 for the purposes of this Grant.
- C. 2. Payment shall be made to the Grantee in accordance with procedures set forth in the Standard Provision of this Grant entitled "Payment-Letter of Credit," as set forth in Attachment 3.

D. Grant Budget

- D. 1. The following is the Budget for this Grant. The Grantee may not exceed the total estimated amount. Except as specified in the Standard Provision of this Grant entitled "Revision of Grant Budget," as shown in Attachment 3, the Grantee may adjust line item amounts within the grand total as may be reasonably necessary for the attainment of program objectives.

D. 2.

Budget

<u>Cost Element</u>	<u>A.I.D.</u>	<u>University Match</u>
Salaries	11,140	24,700
Fringe Benefits	760	4,150
Travel	14,650	-0-
Communications	1,450	-0-
Supplies	2,000	1,150
TOTAL DIRECT COSTS	<u>\$30,000</u>	<u>\$30,000</u>
Indirect Costs	-0-	38,288
TOTAL ESTIMATED AMOUNT	<u>\$30,000</u>	<u>\$68,288</u>

E. Reporting

E. 1. Financial Reporting

- E. 1. a. Financial reporting requirements shall be in accordance with the Standard Provision of this Grant entitled "Payment-Letter of Credit," as shown in Attachment 3.
- E. 1. b. The Grantee shall submit all financial reports to A.I.D., Office of Financial Management, Program Accounting and Finance Division (M/FM/PAFD), Washington, D. C. 20523. In addition, the Grantee shall submit three copies of all financial reports to the A.I.D. Project Office specified in the Cover Letter of this Grant.
- E. 1. c. With the exception of the final financial report, the Grantee shall submit all financial reports within 30 days following the end of the reporting period. The Grantee shall submit the final financial report within 90 days following the estimated completion date of this Grant, as shown in B.1. above.
- E. 1. d. All financial reports shall separately include both A.I.D. and the Grantee's non-federal matching expenditures for the reporting period.
- e. 1. e. All financial reports shall include the following information:

Grant No. DAN-5060-G-SS-7033-00
Project No. 936-5060
Project Office: S&T/RUR, H. Williamson
Obligation No.: 7361258

E. 2. Technical Reporting

E. 2. a. Program Performance Reports

- E. 2. a. (1) The Grantee shall submit quarterly program performance reports, coinciding with the financial reports described above, and a final report, which briefly present the following:
- E. 2. a. (1) (a) A comparison of actual accomplishments with the goals established for the period, and/or the findings of the investigator. If the output of programs or projects can be readily quantified, such quantitative data shall be related to cost data for computation of unit costs.

- E. 2. a. (1) (b) Reasons why established goals were not met, if applicable.
- E. 2. a. (1) (c) Other pertinent information including the status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs.
- E. 2. a. (2) Between the required performance reporting dates, events may occur that have significant impact upon the program. In such instances, the Grantee shall inform A.I.D. as soon as the following types of conditions become known:
 - E. 2. a. (2) (a) Problems, delays, or adverse conditions that will materially affect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of project work units by the established time period. The Grantee shall accompany this disclosure with a statement of the action taken, or contemplated, and any A.I.D. assistance needed to resolve the situation.
 - E. 2. a. (2) (b) Favorable development or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.
 - E. 2. a. (3) If any performance review conducted by the Grantee discloses the need for a change in the budget estimates in accordance with the criteria established in the standard provision of this Grant entitled "Revision of Grant Budget," the Grantee shall submit a request for a budget revision.
 - E. 2. a. (4) The Grantee shall submit all technical reports, except the final report, within 30 days from the end of the reporting period. The Grantee shall submit the final report within 90 days of the estimated completion date of this Grant.
- E. 2. b. Distribution

The Grantee shall submit five copies of each program performance report to the A.I.D. Project Officer specified in the Cover Letter to this Grant.

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F. Title to Property

Title to property acquired hereunder shall vest in the Grantee. The standard provision of this Grant entitled, "Title to and Use of Property (Grantee Title)," applies.

G. Authorized Geographic Code

In addition to other applicable provisions of this Grant, the Grantee shall comply with Paragraph (b)(1) of the standard provision of this Grant entitled, "A.I.D. Eligibility Rules for Goods and Services," concerning total procurement value of less than \$250,000 under this Grant. Paragraph (b)(2) of said standard provision does not apply.

H. Indirect Costs

Indirect costs will not be applied to this Grant.

I. Special Provisions

- I. 1. For the purpose of this Grant, references herein to the cost principles of OMB Circular A-21 shall include the A.I.D. implementation of such cost principles, as set forth in subpart 731.3 of the A.I.D. Acquisition Regulation (48 CFR Chapter 7).
- I. 2. Inconsistencies between any of the attachments of this Grant shall be resolved in the following descending order of precedence:
 - a. Attachment 1 - Schedule
 - b. Attachment 3 - Standard Provisions
 - c. Attachment 2 - Program Description

J. Cost Sharing (Matching)

- J. 1. The Grantee agrees to expend from non-Federal funds not less than 100% of the direct costs funded by A.I.D. In addition, the Grantee shall absorb all indirect costs attributable to the Grant (both A.I.D. and the Grantee's non-Federal matching funds). However, indirect costs will not qualify as part of the Grantee's matching contribution.
- J. 2. The standard provision entitled, "Cost Sharing (Matching)," makes reference to project costs. "Project Costs" are defined in Attachment E of OMB Circular A-110, as all allowable costs (as set forth in the applicable Federal cost principles [see the standard provision of this Grant entitled, "Allowable Costs"]) incurred by a Grantee and the value of in-kind contributions made by the Grantee or third parties in accomplishing the objectives of this Grant during the program period.

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K. STANDARD PROVISIONS

The Standard Provisions set forth as Attachment 3 of this Grant consist of the following Standard Provisions marked by an "X", which are attached hereto and made a part of this Grant:

K. 1. a. MANDATORY STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL GRANTEES

- (X) Allowable Costs (November 1985)
- (X) Accounting, Audit, and Records (March 1987)
- (X) Refunds (May 1986)
- (X) Revision of Grant Budget (November 1985)
- (X) Termination and Suspension (May 1986)
- (X) Disputes (March 1987)
- (X) Ineligible Countries (May 1986)
- (X) Nondiscrimination (May 1986)
- (X) U.S. Officials Not to Benefit (November 1985)
- (X) Nonliability (November 1985)
- (X) Amendment (November 1985)
- (X) Notices (November 1985)

K. 1. b. ADDITIONAL STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL GRANTEES

- (X) Payment - Letter of Credit (November 1985)
- () Payment - Periodic Advance (November 1985)
- () Payment - Cost Reimbursement (November 1985)
- (X) Air Travel and Transportation (November 1985)
- (X) Ocean Shipment of Goods (May 1986)
- (X) Procurement of Goods and Services (November 1985)
- (X) AID Eligibility Rules for Goods and Services (November 1985)
- () Subagreements (November 1985)
- () Local Cost Financing (May 1986)
- (X) Patent Rights (November 1985)
- (X) Publications (November 1985)
- () Negotiated Indirect Cost Rates - Predetermined (May 1986)
- () Negotiated Indirect Cost Rates - Provisional (May 1986)
- (X) Regulations Governing Employees (November 1985)
- (X) Participant Training (May 1986)
- () Voluntary Population Planning (August 1986)
- (X) Protection of the Individual as a Research Subject (November 1985)
- (X) Care of Laboratory Animals (November 1985)
- () Government Furnished Excess Personal Property (November 1985)

- (X) Title To and Use of Property (Grantee Title)
(November 1985)
- () Title To and Care of Property (U.S.Government Title)
(November 1985)
- () Title To and Care of Property (Cooperating Country
Title) (November 1985)
- (X) Cost Sharing (Matching) (November 1985)
- (X) Use of Pouch Facilities (November 1985)
- (X) Conversion of United States Dollars to Local Currency
(November 1985)

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Attachment 2

Program Description

The Grantee's proposal entitled "Africa Agricultural Development Support" is incorporated herein as Attachment 2 and made a part of this Grant.

MATCHING SUPPORT GRANT PROPOSAL

Institution--Cornell University

Program Coordinator--Armand Van Wambeke, Professor, Soil Science

Proposed Project Title--Africa Agricultural Development Support

Proposed Project Duration--October 1, 1986 to September 30, 1989

Grant Amount Requested--\$50,000 per year

Proposed Project Objectives:

1. To expand Cornell University's technical assistance capabilities by strengthening it's knowledge of and experience in agricultural and rural development in Africa.

2. To develop educational materials on issues relating to natural resource management for use in selected African countries.

Description of Proposed Project:

INTRODUCTION

The project involves faculty from several disciplines who will organize themselves to produce educational materials in specific areas of natural resource management for and about conditions in selected African countries. The identification of the countries and the specific areas and topics for the project would be determined through consultation with professionals associated with USAID, host country institutions and AID contractors. The primary focus of the project would be to complement and derive products from existing AID funded projects in Africa.

Natural resource management, the focus of this proposed

project, is known to be one of the critical problem areas for many African countries. It must be addressed if they are going to be able to further develop their agriculture on a sustainable basis. Several countries are already dealing with reclamation of previously destroyed resources. Others are seeking ways to expand production on fragile lands which require careful if not highly management intensive systems. Many countries have limited resources for food production for populations which are growing very rapidly.

Several AID projects in Africa deal directly with these problems. Other projects, both mission and centrally funded, deal with these issues as components. Often projects do not program the development of educational materials which may be derived from their results. Opportunities are seldom created to generate materials which come from the collective experiences and results of similar projects dealing with similar issues and resources in two or more countries. This project proposes to do this for selected topics.

The project will have both process and product dimensions. The processes involved include: the delineation of specific problem areas, the identification of products and target groups, the development of the materials, and the formulation of a plan for dissemination. In all stages, Cornell will directly involve African professionals for their expertise and in order to assist them in the development of capabilities to produce similar materials. As mentioned earlier, the process will involve consultations with AID Mission and Washington staff,

professionals and leaders in African institutions and scientists in the international agricultural research centers who are working on African problems.

The products would include: instructional materials (printed, audio and/or visual) for use in formal and informal settings, consultations on curricular development for various levels of educational institutions, and, potentially, contributions to the process of design, development and dissemination of educational materials in other substantive areas. A separate and most important product of this project is the experience Cornell faculty in several disciplines will get in dealing with African problems. The application of their expertise through this small project will help build interest and understanding which may help in developing stronger responses to requests for proposals for larger, more intensive projects. Such a product is consistent with and supportive of Cornell's recently announced Africa Initiative described below.

PERSONNEL

A core group of interested faculty at Cornell will coordinate this three year project with the administrative assistance of the International Agriculture Program. They include: Armand Van Wambeke, Professor of Agronomy with considerable experience abroad including Africa; William Drake, Professor of Agricultural Education with limited experience in Africa; James Lassoie, Assistant Professor of Natural Resources with no experience in Africa; and Michael Walter, Associate Professor of Agricultural Engineering with limited and recent experience in

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Africa.

Professor Van Wambeke will provide leadership for the project. He is the International Professor of Soils at Cornell and has been and continues to be involved in several AID funded soils projects. Presently, he is chairman of the advisory board of the Soil Management Support Services (SMSS), an AID project under a PASA agreement with USDA. He is the principal investigator in a cooperative agreement between Cornell and SMSS, producing mainly teaching and training materials for developing countries.

Professor Drake brings to the group the expertise of an agricultural educator who has developed and evaluated both materials and curricula for agricultural education institutions. Last year, he attended an AID funded workshop in Cameroon on agricultural education in Africa. Professor Lassoie is currently developing a broad based program on agro-forestry and is interested in developing an Africa focus. Recently developed relationships with Yale University and CARE were directed at possible future activities in African countries. Professor Walter, who recently returned from a nearly two year stint as a JCC in India and who is the current principle investigator for the WMSII AID funded project at Cornell, brings considerable interest and expertise in water management to this project.

This small group will provide policy and substantive guidance to the project. They are also among the best qualified to contribute to the products (or be the products) of this natural resource management focused project. However, it is

intended that the selected activities will necessitate the involvement of several other faculty, particularly those who are young and without African experience. It will also require the direct involvement of African professionals in all stages of the process. Consequently, it is anticipated that one or two Cornell staff members will go to one or more African countries each year of the project to work with selected staff of African institutions. A visiting professional from an African institution may come to Cornell as a substitute for or complement to this involvement. Much of the instructional material development would occur at Cornell University where there are excellent facilities for this purpose.

METHODOLOGY

For the most part, educational (teaching) materials would be produced to illustrate the results and/or methodologies of selected AID-Title XII related African activities which have at least a natural resource component. These educational materials would be made available in a wide variety of formats depending on appropriateness and ease of use at target African institutions. The formats include: extension publications, printed illustrations, slide sets, audiotapes, videotapes or combinations of these. In this project, only prototypes would be produced since the budget will not permit mass production.

The development of these materials involves the following process: (1) selection of a subject area and the enlistment of the cooperation of project staff and African cooperators; (2) the production of a preliminary document (script and/or monograph)

illustrating a particular methodology or project result and its importance for development; (3) compilation of a visual reference library of slides, figures, documents, and/of audio and video tape which may be incorporated into the final product; (4) elaboration of the final text and associated visuals into a complete document by several approximations involving reviews by peers and users; and (5) training of African cooperators on the most effective presentation of the teaching materials.

PROGRAM CAPABILITIES

Cornell University has considerable strength in addressing the problems of natural resource management domestically and in the third world. Staff in the Department of Agronomy have been involved in AID funded tropical research programs, the Soil Management CRSP, a soil survey in North Yemen and the development of educational materials on Soil Taxonomy. Several faculty of the department are directly concerned with the problems of soil and water management. In the area of water management, a group of 5 faculty representing as many disciplines has been involved with irrigation and water management issues for several years. Those currently involved in WMSII include: Walter Coward and Milton Barnett, Rural Sociology; Randy Barker, Agricultural Economics; Norman Uphoff, Government; and Michael Walters, Agricultural Engineering.

The Department of Natural Resources is directly concerned with the topic and has several staff with international interests and experience. Of particular interest to this project is the newly developed thrust in the area of agroforestry led by James

Lassoie and involving several faculty and graduate students. Another program area relevant to this proposal is Farming Systems Research and Extension. Cornell has an FSR project in the Philippines, teaches a course on the subject, and is actively involved as part of the FSSP support network. Finally, the Department of Education has a strong section on Agricultural Education and a unit which deals specifically with the development and production of educational materials.

FIRST YEAR

The primary focus of the first year will most likely be in the area of soil conservation and management. Cornell's work with the acid savanna soils in Brazil would form the basis of a review of projects on similar soils in Africa. Thus, the strength of technical experience in the management of the savanna could be utilized and captured for the benefit of African farmers. Cornell has begun to explore the possibilities of working on savanna soils in Zambia. Discussions have been held with the University of Illinois about possible collaboration. Part of this collaboration could realistically include the development of educational materials similar to those recently developed by Cornell for use in Brazil. This project possibility serves to indicate the readiness of Cornell to undertake this Matching Support Grant project. Upon notification of the grant, Cornell will undertake a comprehensive review of project possibilities with USAID in the area of soil management and conservation to determine the most appropriate focus and location.

Relationship to On-going Title XII-Funded Overseas Activities

Cornell University is currently involved in several collaborative research and other support projects funded by USAID. These include the soil management CRSP, the bean/cowpea CRSP, the nutrition surveillance project, the consortium for international crop protection project, water management synthesis II, and the farming systems support project. While all of these projects have activities in Africa, Cornell's activities there have been very limited and of a short term duration. This project will allow some of the faculty to apply to African countries the experience gained in these projects in other parts of the world. The focus on natural resource management would draw on the considerable program strength at Cornell in this area.

This project is specifically designed to contribute to or add a dimension to existing AID projects in Africa (as indicated in the description). The whole process of developing instructional materials will be done jointly with those involved with an AID project and others as appropriate. Further, a modest amount of networking will be done to gather and share resource materials and disseminate prototype materials.

The project is designed to be supportive of the recently developed AID strategy for Agricultural Development in Africa. The focus on a priority topic, the link with key educational institutions, the involvement with the international agricultural research centers and the attempt to derive educational messages from on-going research are all consistent with this strategy for Africa.

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Relationship to Capacity of University Employees to Undertake
Technical Assistance Activities Abroad

Cornell University has long sought to become more involved in agricultural and rural development activities in Africa. In the past 9 years, Cornell has unsuccessfully bid on 6 AID projects in Africa (three in Kenya and one each in the Gambia, Cameroon and Zimbabwe). While they each have their own distinct history, it is clear that Cornell's limited faculty experience in Africa is considered negative by reviewers of our proposals. In order to improve Cornell's position to contribute to and conduct effective educational and research activities in Africa, mechanisms are needed to involve faculty from a wide range of disciplines in the problems of Africa. By relating this project to the on-going program thrusts of the USAID missions and by identifying clear products, it is expected that Cornell will greatly improve (1) the capabilities of it's faculty, (2) it's management capabilities and (3) it's basic knowledge with respect to African agriculture. This should, therefore, improve Cornell's capability to serve the development needs of Africa through management of future AID funded long-term projects.

Cornell University is actively seeking to apply it's expertise to African development. The history of bidding on African projects attests to this. Recently, Cornell President, Frank Rhodes, announced an African Development Initiative. A proposal to "Mobilize and strengthen institutional resources to address the problems of development in Tropical Africa" has been

drafted by a group of faculty from several disciplines. The proposal identifies three interrelated focal points to which Cornell might make significant contributions: (1) the need to produce enough food, (2) the constraints on human resource development and (3) the need for effective development policies and institutions. The proposal calls for the establishment of an African Development Institute on the Cornell campus, the creation of six new faculty positions and the building of a long-term capacity for responding to needs in Africa. This new development not only demonstrates Cornell's commitment to Africa, but also elucidates how this project proposal contributes to building a capacity for something Cornell wants to do.

Eligibility

1. Cornell will have successfully completed its Strengthening Grant by September 30, 1986 and has been declared eligible for an MOU or Matching Support Grant.
 2. Cornell does not have an MOU and accompanying program support grant with USAID.
 3. The number of FTE's of regular Cornell employees involved in USAID funded Title XII projects overseas (excluding those supported by the Strengthening Grant) is at least the following:
 - *1983--4.1
 - *1984--4.3
 - *1985--3.5
- Average for 3 years--4.0

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