

PD-ABA-802
65766

RS/PS
I.D.
Reference Center
March 1971

MEMORANDUM

March 9, 1971

TO: A:
FROM: TA, PM, Mary E. Mozynski
SUBJECT: Reproduction and Distribution of PROPs for TAB

Attached for reproduction and distribution is the following PROP
for the Technical Assistance Bureau:

University Programmatic Services
(University of Michigan)

Please return the original to this office. Thanks.

Attachment
a/s

Page III-5
Deal at years end funds
not okay for specific projects!
talked w/ Mary Fowler
3-15-71
ASH

PROJECT AUTHORIZATION

1. PROJECT NUMBER 931-11-570-923	3. COUNTRY WORLDWIDE	4. AUTHORIZATION NUMBER TA 0108
2. PROJECT TITLE University Programmatic Services (Univ. of Michigan)		5. AUTHORIZATION DATE 3/1/70
7. LIFE OF PROJECT		6. PROP DATED

a. Number of Years of Funding: **5***
 Starting FY 19 **71**; Terminal FY 19 **75**

b. Estimated Duration of Physical Work
 After Last Year of Funding (in Months): **N/A**

FUNDING BY FISCAL YEAR (in U.S. \$ or \$ equivalent)	DOLLARS (000s)		P.L. 480 CCC + FREIGHT	LOCAL CURRENCY			
	GRANT	LOAN		Exchange Rate: \$1 =		HOST COUNTRY	
				U.S. OWNED			JOINTLY PROGRAMMED
Prior through Actual FY				GRANT	LOAN		
Operational FY 71	1,000						
Budget FY 72	1,000						
B + 1 FY 73	1,000						
B + 2 FY 74	1,000						
B + 3 FY 75	1,000						
All Subsequent FY's							
TOTAL	5,000						

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

* This Project Authorization provides funding for (1) core support for three years and (2) programmatic projects to be approved by A.I.D. during the remainder of FY 71 thru to June 30, 1971. Funding in subsequent fiscal years will maintain a minimum of two years forward funding of core staff, and each year's funding will finance the programmatic component of the program for that operational FY.

10. CONDITIONS OF APPROVAL OF PROJECT

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

(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 significantly from the project as originally authorized as to warrant submission of a new or revised PROP.

A.I.D. APPROVAL	CLEARANCES	DATE
<i>S. H. Butterfield</i> SIGNATURE	TA/POP, ASLackey <i>ASL (wet)</i>	2/18/71
	TA/PM, JHKeane <i>JHK</i>	
AA TA, S. H. Butterfield TITLE	3/1/70 DATE	A/CONT

NONCAPITAL PROJECT PAPER (PROP)

Country: World-Wide Project No.: 931-11-570-923

Submission Date: 7/71 Original: _____ Revision No.: _____

Project Title: University Programmatic Services
(University of Michigan)

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 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 Michigan, 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:1/26/71

TA/PM, RKerchen: 2/11/71

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.

II. SETTING

A. THE NEED FOR PRACTICAL KNOWLEDGE

National family planning and population programs represent relatively recent approaches toward development for many IDC'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 concerning 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.

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B. AVAILABLE RESOURCE INSTITUTIONS

Several U.S. institutions have developed a high level of expertise and capacity to work on the key problems and issues in population and family planning.

Among these institutions are the University of Michigan, Johns Hopkins University, University of North Carolina and the University of Hawaii all of which have received A.I.D. grants for institutional development.

1. A.I.D. Funding of the University of Michigan

In June 1968, A.I.D. made a \$1,250,000 institutional grant to the University of Michigan in order to substantially increase the staff and other resources of the Center for Population Planning and to facilitate the participation of other university centers, departments and institutes having population-related skills of benefit to A.I.D. and LDCs in general.

The specific objectives of the grant are as follows:

- a. To increase the University's capacity to provide program administrators and academic personnel from developing countries with advanced and specialized training in various aspects of population planning.
- b. To increase the University's capacity to provide training and educational opportunities for professional staff members of A.I.D. and other agencies rendering technical assistance in population planning overseas.
- c. To undertake a series of comparative studies dealing with population change, population policy, fertility and population planning programs in developing nations.

- d. To develop training and educational materials based upon investigation into actual problems in population planning in the developing nations. These materials are made available to other universities and agencies in the United States and abroad.
- e. To develop and organize interdisciplinary courses of study relating to population problems in developing areas, including special short courses for U.S. and foreign students. This involved the introduction of new courses and the appropriate restructuring of certain existing courses to incorporate the findings and knowledge derived from the activities of this grant.
- f. To increase the University's involvement in technical consultation on population matters for A.I.D. in the United States and overseas.

For administration purposes, the grant is divided within the Center for Population Planning (CPP) into two parts. Overall responsibility for the grant and administrative direction of that part providing general institutional support for the CPP rests with the Center's Director, Dr. Leslie Corsa. The portion facilitating participation of other University units and faculty in interdisciplinary approaches to population issues is under administrative direction of Dr. Jason Finkle, one of the senior staff members of the Center.

In addition to the 211(d) grant, the University of Michigan has been funded by an A.I.D. contract to provide technicians to assist with the operation of the Nepalese Family Planning Project and to

advise the Government of Nepal on population planning, policy and research. A long-term relationship between Nepal and the University is expected to develop as a result of this contract.

2. Organizational Structure and Relationships

a. The University of Michigan population program

The University of Michigan population program is under the general direction of a Policy Committee consisting of the Vice President for Academic Affairs (chairman), the Dean of the College of Literature, Sciences and Arts, the Medical School, School of Public Health and the Chairman of the operating committee. The Policy Committee is responsible for general policy determination, for program development, for coordination of research and training activities and the administration of special funds. The Operating Committee consists of the Directors of the three Centers (described below) and the Chairmen of the Departments most directly concerned at present: Health Development, Obstetrics and Gynecology, and Sociology, and is responsible for coordination of specific programs and operations of the three Centers. Members from other departments will be added as they become affiliated with the program.

The program utilizes the full resources of the Center for Population Planning, Center for Research in Reproductive Biology, Population Studies Center and the strong interests in many other units such as anthropology, bio-statistics, economics, epidemiology, environmental health, group dynamics, human genetics, law, medical care organization, natural resources, nursing, political science, psychology, public administration, social work, survey research, zoology and a series of

area centers for China, Japan, the Near East and North Africa, Russia and South and South East Asia.

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b. Center for Population Planning

The Center is an interdisciplinary organization working cooperatively not only with its two sister centers but also with many other units of the University such as anthropology, biostatistics, maternal and child health, etc. and with the geographic area centers described earlier. The CPP's activities include teaching, field programs, research, and fellowships.

The CPP is responsible thru the Department of Health Development for programs of study in population planning. These programs are intended to prepare students for administrative, teaching, consultant and research careers in population planning in public and private agencies or universities thruout the world. Programs of study with specialization in population planning have been set up for students working towards their M.P.H., D.P.H. or M.S. degrees.

The CPP has long-term commitments in population planning programs in Michigan and in Malaysia and Taiwan. In cooperation with the Government of Malaysia and the Ford Foundation, the Center is providing technical assistance and training for the National Family Planning Board of Malaysia. Faculty of the Center are resident in Kuala Lumpur. The CPP is also assisting in the work now being done by the Population Studies Center in cooperation with the Taiwan Population Studies Center in Taichung; the CPP staff have been making complementary studies and training in development and evaluation of the family planning program of the Province of Taiwan, Republic of China.

The University has entered into useful collaborative relationships with several public and private population/family planning organizations in LDCs.

The following are illustrative:

KOREA: Institute for Family Planning and Health

PAKISTAN: Ministry of Health;

National Research Institute, UFP (Karachi); WP Research and Evaluation Center (Lahore); EPR and EC (Dacca); Jinnah Post-Graduate Medical School (Karachi).

TAIWAN: Institute of Family Planning (Taipei).

TURKEY: Hacettepe Institute of Population Studies; Directorate of Family Planning, Ministry of Health.

In addition, the University of Michigan has close working relationships, both domestic and overseas, with Ford Foundation, Rockefeller Foundation, WHO, Pan American Health Organization, International Planned Parenthood Federation, and Church World Service.

The Center's research interests are broad and worldwide but are primarily focused on organized efforts to achieve optimal balance between human reproduction and other aspects of life. Center staff are concerned with all factors influencing fertility but most urgently with development of better contraceptive technology and better methods of education and social change and with the planning, organization and evaluation of various programs to make these available to people at different stages of economic and educational development.

The major research topics or activities currently in progress are: Comparative Analyses of Population Planning Programs, Application of Modern Contraceptive Technology, Induced Abortion, Comparative Research Seminar on Population Planning, Economic Incentives in Family Planning, The Political Implications of Demographic Change, and Professional Education of Physicians and Nurses about Family Planning.

The Center awards a limited number of fellowships to qualified graduate students preparing for careers in population planning. Students may come from a variety of backgrounds and may be candidates for the degrees of Master of Public Health, Master of Science, or Doctor of Public Health or may be special students with previous graduate degrees who need preparation in one or more areas of population planning. Center fellowships, made possible by the Ford Foundation, the Agency for International Development and the Public Health Service, cover tuition and academic fees, living allowances and limited travel expenses.

The staff of the Center for Population Planning (1) a small multidisciplinary career faculty (about 15 persons) whose time spent in Ann Arbor is relatively long, although some are overseas on off-campus assignment and some are away during a given year, (2) a small multidisciplinary part-time research faculty (about 15 persons) whose time span at Ann. is shorter, (3) a much smaller visiting faculty (1-3 primarily from other countries in Ann Arbor for an average of about one year, (4) an administrative and research support staff, (5) doctoral degree students with an average length of life in Ann Arbor of two plus years, (6) master's degree students with half that average life and (7) special students, generally for shorter periods. In the past, the Center has also had short-term students for special courses of four to eight weeks duration.

c. Center for Research in Reproductive Biology

The Center for Research In Reproductive Biology is concerned primarily with studies and training related to the biological mechanisms of human reproduction and to the development of improved contraceptive methods.

The Center provides specialized study opportunities for qualified residents in obstetrics and gynecology and for qualified research trainees from foreign countries. A Master of Science degree (Obstetrics and Gynecology) and a Ph.D. program is available for those who are interested and qualified. The Center also assists with the teaching of human reproduction and of family and population planning to medical students, interns and residents and provides experienced teachers in human reproductive biology for other courses in the University.

A training program is offered to post-doctoral students who are interested in studying the biology of human reproduction. The program provides training for investigators with degrees in physiology or biochemistry or for physicians who are in or have completed residency training and desire a year of training in basic research in reproductive physiology and population studies. A structured program of lectures and seminars in biochemistry (steroid), endocrinology, immunology and physiology is given in addition to laboratory work.

The Center's research interests range from spermatogenesis and oogenesis to implantation of the fertilized egg. The main emphasis is on immunology. Current studies include:

1. Immunologic aspects of reproduction. Studies of reproduction. Studies of role of immunology in problems of infertility and its potential in preventing conception. These include mechanisms of action, isolation and identification of antigens in male accessory organs.
2. In vitro synthesis of antibodies.
3. Immunologic aspects of implantation.
4. Biochemistry of the human female genital tract
5. Clinical studies of contraceptive pills and intrauterine devices.

d. Population Studies Center

A primary purpose of the Center is to facilitate research on demographic phenomena in relation to the social context in which they occur. The research activities not only contribute to the body of reliable knowledge about human populations, but also provide opportunities for students to apply their academic training and acquire technical skill in population analysis.

The Center was organized in 1961 to continue on a larger scale the program of research and training in population and human ecology which had been carried on in the Department of Sociology for many years. The Center recently has made special efforts to develop resources in overseas areas for conducting population studies and to strengthen demographic training opportunities for students in the Department of Economics.

To assist in developing professional personnel whose skills include the ability to analyze population phenomena, the Center provides a system of apprenticeship in which the trainee works under close supervision. The apprenticeship program supplements the formal instruction provided through teaching units of the University. Faculty associated with the Center offer courses in demographic analysis and population studies through the Departments of Economics and Sociology.

The Center has no centralized research program; instead, each member of the professional staff pursues his own research interest. The basic grant from the Ford Foundation provides the continuity in the supporting staff and the availability of research facilities. Each large-scale project housed at the Center is funded by a separate research grant, however. Four lines of research currently underway are: Studies of Overseas Populations, Demographic Trends in Central Europe, Childbearing Patterns of Americans, and Social Stratification in America.

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Each year a few well-qualified students from abroad receive awards from the Center to begin graduate study at the University. A number of students now have returned to their homelands, and Center staff members continue to consult with them about their professional activities. The Center assists American students in the training program who wish to participate in an overseas project. At least one member of the professional staff has chosen to take an overseas assignment each, and, in addition, staff members have made frequent trips of a few weeks duration to consult with colleagues abroad about research problems of mutual interest.

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 practice -- 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 funding inputs from 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

2/8/71 (c) evaluate project accomplishments.

A program director will be included in the core staff in order to provide proper management of the grant activities.^{1/} 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.^{2/} 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 grantee aware of developments within A.I.D., especially as they relate to the Agency's needs for research, demonstrations, surveys, etc.

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

^{2/} The university's formulation of priorities for development of project proposals under this grant are referred to as the "grantee's programmatic grant strategy."

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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 next three years. by other activities expected to be undertaken under the grant for the 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.

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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 or 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 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.

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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.

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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 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 MICH., 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	326	--	115	77	--	518
Projects	674	1,000	885	923	1,000	4,482

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 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 capacity and willingness to perform services yielding results of direct utility to the Agency.

B. SUBMITTAL AND REVIEW 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 or 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 principle 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.

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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.

2. Project Reports annual

The grantee shall submit/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 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 since approval of the project) not exceed 15 months.

J.A.

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) determining yearly funding requirements and (b) the mutual desirability of continuing this form of relationship.

In LDC's, 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).

CENTER FOR POPULATION PLANNING

AID PROGRAMMATIC SERVICES GRANT

PROPOSED PROJECTS

(University of Michigan)

Project Description	Principle Investigators	Location	Probable Duration	Estimated Cost	
				70-71	70-73
1. The Effect of Prostaglandin on Human Uterine Contractility and Endometrial Metabolism	Behrman	USA	3 yrs	\$25,000	125,000
2. Antitrophoblast as a Contraceptive	Behrman	USA	3 yrs	25,000	125,000
3. Determinants of Pill Adoption and Continuation in Malaysia	Corsa/Peng	USA & K. Lumpur	2-3 yrs	25,000	107,510
4. Cross-match of Acceptor Records with Live Birth Records	Corsa/Peng	USA & K. Lumpur	2-3 yrs		
5. Analysis of Family Planning Questions in the Malaysian Census Post-Enumeration Study	Takeshita	USA &/or K. Lumpur	1 yr	20,000	23,000
6. Medical Correlates of Intrauterine Device Use in Taiwan	Peng	USA/Taiwan	2-3 yrs	5,950	28,580
7. Comparative Analysis of Effectiveness of Major Governmental Family Planning Programs	Corsa	World	3 yrs	17,000	117,000
8. Experiments with Demographic-Economic Simulation Models	Simmons	USA	6 mos	5,000	
9. Motivational Determinants of Contraception	Kar/Sehgal, Mitra	USA & India	3 yrs	32,924	82,924
10. Annotated Bibliography of Cross-Cultural Educational Strategies in Family Planning Programs.	Kar		3 yrs	5,000	45,000

AID PROGRAMMATIC SERVICES GRANT

A P P E N D I X I

PROPOSED PROJECTS

(continued)

(University of Michigan)

Project Description	Principle Investigators	Location	Probable Duration	Estimated Cost	
				70-71	70-73
11. Fertility Behavior in a Peasant Society	Poffenberger	USA & Baroda	2 yrs	16,775	68,853
12. The Relationship Between Economic and Demographic Behavior Among the Households in the Developing World	Simmons	USA & India	3 yrs	4,000	64,000
13. Clearinghouse for Population Planning Programs and Centers in LDC's	Corsa	USA		25,500	175,000
14. Analysis of Data from a Number of Family Planning Projects Completed by Korea's Yonsei University Center for Family Planning Studies	Takehita	USA/ Seoul	3 yrs	5,000	22,500
15. Organizational Correlates of Effective Family Planning Programs in India	Munson	India	3 yrs		25,000
16. A Proposal for the Study of a Family Planning Program in Uttar Pradesh, India: Its Organization and Impact	Finkle	India & USA	3 yrs	50,000	150,000
17. Proposal for the Study of Inter-District Variations in Demographic Behavior in the Adoption of Family Planning	Simmons	USA	18 mos	2,455	4,000
18. The Role of Multilateral Agencies in Family Planning Programs	Finkle	Ann Arbor Geneva	3 yrs	25,000	150,000
19. Proposal: A Conference on Family Planning Evaluation for May 1971	Simmons & Takehita	Ann Arbor	2 mos	25,000	25,000
20. Visiting Research Associate Program	--	Ann Arbor	Various	To be Determined	

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A P P E N D I X II

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UNIVERSITY OF MICHIGAN

CORE STAFF BUDGET
(by calendar year)

Item	1971	1972	1973	Total
(dollars in thousands)				
Salaries and wages				
Faculty (5 man-yrs.)	\$ 20.0	\$ 45.0	\$ 50.0	\$115.0
Admin. Asst. (3 man-yrs.)	15.0	16.0	17.0	48.0
Research Asst. (5 man-yrs.)	10.0	21.0	22.0	53.0
Secretary (8 man-yrs)	10.0	16.0	17.0	43.0
Fringe Benefits (12%)	6.6	11.8	12.8	31.2
Equipment (office, library, data)	6.0	5.0	4.0	15.0
Supplies (office, library, data)	5.0	6.0	7.0	18.0
Rent and Utilities	5.0	8.0	9.0	22.0
Travel	3.0	6.0	7.0	16.0
Total Direct Costs	80.6	134.8	145.8	361.2
Total Indirect Costs	33.0	58.8	63.6	155.4
TOTAL	\$113.6	\$193.6	\$209.4	\$516.6

A P P E N D I X I I I

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 is 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.

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- 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.

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 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 MICH., 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	326	--	115	77	--	518
Projects	674	1,000	885	923	1,000	4,482