

CONTRACT/AGREEMENT  
DATA SHEET

B 25979

1. M/SER/AAM/A/SUP  
Action Monitor

DLF

2. Date PIO/T Received in  
M/SER/AAM/A/SUP

7 ' 27 ' 89

COMPLETE EACH BLOCK FOR BOTH NEW ASSISTANCE/ACQUISITION AND MODIFICATION ACTIONS

1. Contract/Agreement/Number

DAN-5117-A-00-9099-00

PD 118421

4. Contractor/Recipient Name

Wellstart San Diego Lactation Program

5. Contractor Acronym

WW

6. Project Title

The Women's and Infants' Nutrition: A Family Focus Project

7. Project Number

936-5117

8. Project Officer's Name

N. P. Schlossman

9. Bureau or USAID Symbol

S&T/N

10. PIO/T Number

936-5117-3-9361506

21. Budget Plan Code  
DDHA-89-13600-KG11  
APP. 72-1191021.8

ALL. 948-36-099-00-26-91

11. TYPE OF ACTION

A. New Acquisition/Assistance

B. Amendment/Modification

1. New/Revised Scope

2. Funded Extension

3. No Cost Extension

4. Transfer of action from AID/W to Mission/Mission to AID/W

5. Incremental Funding

6. Overhead Rate Adjustment

7. Contract Closeout

8. Other

A

22. Country or Region of Performance

WW

23. A. This Action Increases or Decreases TEC by

\$ \_\_\_\_\_

B. Total Estimated Cost of Contractual Document

\$ 7,000,000

24. Amount of Non-Federal Funds Pledged to the Project

—

CFPR or FAR

FAR

12. Amount of this PIO/T

ODL U.S.

500,000

25. Effective Date of this Action

9, 29, 89

13. Amount  Obligated  Subobligated  Deobligated  
by this Contract or Amendment

U.S. \$ 500,000 This PIO/T  
(533909) (This action)

26. Estimated Completion/Expiration Date

9, 29, 94

14. Cumulative Obligation (Life of Contract)

U.S. \$ 533,909

27. Contractor DUNS Number

18 78-1298

15. This Action Funded Through

2, 15, 90

28. Consultant Type Award

YES  NO

29. Number of Person Months (PASA/RSSA only)

16. Date Contractual Documents Signed by AID Official

9, 29, 89

30. Number of Persons (PASA/RSSA only)

17. Incrementally Funded Contracts

YES  NO

31. CONTRACT TYPE

A. Fixed Price (specify:  FFP

FPRD  FPEPA  FPIJ

B. Cost Reimbursement

(specify:  CR  CPFF

CS  CPAF  CPIF )

C. IOC and Requirements Contracts

D. Grant/CA/PASA/RSSA

E. Contracts with Individuals

D

18. Host Country/Counterpart Institution (University Contracts)

NA

19. Campus Coordinator (University Contracts)

NA

20. ADVANCE

A. No Advance

B. Advance Non-FRLC

C. Advance FRLC

C

32. Negotiator's Typed Name

E. R. Wills

33. Negotiator's Signature

*E. R. Wills*  
*E. R. Wills*

34. Date Signed

9, 29, 89

35. Contract/Grant Officer's Organization Symbol

W/FA

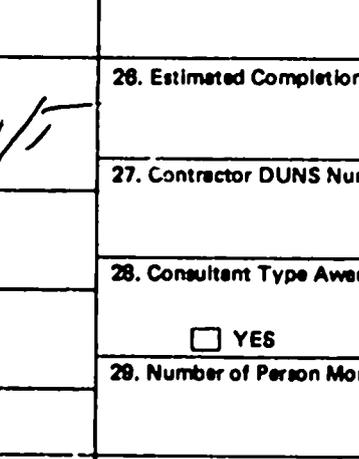
36. Contract/Grant Officer's Signature

37. Date Signed

09, 28, 89

<b>CONTRACT/AGREEMENT DATA SHEET</b>	<b>B 26740</b>	1. M/SER/AAM/A/SUP Action Monitor <b>DLF</b>	2. Date PIO/T Received in M/SER/AAM/A/SUP <b>9 / 28 / 89</b>
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**COMPLETE EACH BLOCK FOR BOTH NEW ASSISTANCE/ACQUISITION AND MODIFICATION ACTIONS**

1. Contract/Agreement/Number <b>DAN-5117-A-00-9099-00</b>		5. Contractor Acronym	
Contractor/Recipient Name <b>Wellstart/San Diego Location Program</b>		7. Project Number <b>936-5117</b>	
6. Project Title <b>Women's and Infant's Nutrition</b>		9. Bureau or USAID Symbol <b>S&amp;T/N</b>	
8. Project Officer's Name <b>N. Schlossman</b>		21. Budget Plan Code <b>DDCA-89-13600-KGII APP. 72-1191021.7</b>	
10. PIO/T Number <b>936-5117-3-9361595</b>		ALL. 947-36-099-00-20-91	
11. TYPE OF ACTION A. New Acquisition/Assistance B. Amendment/Modification <input checked="" type="checkbox"/> <b>B</b> 1. New/Revised Scope 2. Funded Extension 3. No Cost Extension 4. Transfer of action from AID/W to Mission/Mission to AID/W 5. Incremental Funding 6. Overhead Rate Adjustment 7. Contract Closeout 8. Other  C.FPR or FAR _____  12. Amount of this PIO/T OBL      U.S. \$ <b>27,886</b>  13. Amount <input checked="" type="checkbox"/> Obligated <input type="checkbox"/> Subobligated <input type="checkbox"/> Deobligated by this Contract or Amendment U.S. \$ <b>27,886 This PIO/T</b>  14. Cumulative Obligation (Life of Contract) U.S. \$ _____  15. This Action Funded Through _____ / ____ / ____  16. Date Contractual Documents Signed by AID Official _____ / ____ / ____  17. Incrementally Funded Contracts <input type="checkbox"/> YES <input type="checkbox"/> NO  18. Host Country/Counterpart Institution (University Contracts)  19. Campus Coordinator (University Contracts)		22. Country or Region of Performance  23. A. This Action Increases or Decreases TEC by \$ _____  B. Total Estimated Cost of Contractual Document \$ _____  24. Amount of Non-Federal Funds Pledged to the Project  25. Effective Date of this Action _____ / ____ / ____  26. Estimated Completion/Expiration Date _____ / ____ / ____  27. Contractor DUNS Number  28. Consultant Type Award <input type="checkbox"/> YES <input type="checkbox"/> NO  29. Number of Person Months (PASA/RSSA only)  30. Number of Persons (PASA/RSSA only)	
20. ADVANCE A. No Advance <input type="checkbox"/> B. Advance Non-FRLC C. Advance FRLC <input type="checkbox"/> 32. Negotiator's Typed Name <b>E. Willis</b> 35. Contract/Grant Officer's Organization Symbol <b>W/IFA</b>		31. CONTRACT TYPE A. Fixed Price (specify: <input type="checkbox"/> FFP <input type="checkbox"/> FPRD <input type="checkbox"/> FPEPA <input type="checkbox"/> FPI) <input type="checkbox"/> B. Cost Reimbursement (specify: <input type="checkbox"/> CR <input type="checkbox"/> CPFF <input type="checkbox"/> CS <input type="checkbox"/> CPAF <input type="checkbox"/> CPIF) C. IQC and Requirements Contracts D. Grant/CA/PASA/RSSA E. Contracts with Individuals	
33. Negotiator's Signature  36. Contract/Grant Officer's Signature 		34. Date Signed <b>9, 28, 89</b>  37. Date Signed <b>09, 29, 89</b>	

*COMBINED ACTION*

CONTRACT/AGREEMENT  
DATA SHEET

B 26739

1. M/SER/AAM/A/SUP  
Action Monitor

2. Date PIO/T Received in  
M/SER/AAM/A/SUP

DLF

9 / 28 / 89

COMPLETE EACH BLOCK FOR BOTH NEW ASSISTANCE/ACQUISITION AND MODIFICATION ACTIONS

1. Contract/Agreement/Number

DAN-5117-A-00-9099-00

4. Contractor/Recipient Name

Wellstart/San Diego Loactation Program

5. Contractor Acronym

6. Project Title

Women's and Infant's Nutrition

7. Project Number

936-5117

8. Project Officer's Name

N. Schlossman

9. Bureau or USAID Symbol

S&T/N

10. PIO/T Number

936-5117-3-9361506 AI

21. Budget Plan Code DDHA-89-13600-KG11

APP. 72-1191021.8

ALL. 948-36-099-00-20-91

11. TYPE OF ACTION

A. New Acquisition/Assistance

B. Amendment/Modification

1. New/Revised Scope

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5. Incremental Funding

6. Overhead Rate Adjustment

7. Contract Closeout

8. Other

A

COMBINED  
ACTION

22. Country or Region of Performance

23. A. This Action Increases or Decreases TEC by

\$ \_\_\_\_\_

B. Total Estimated Cost of Contractual Document

\$ \_\_\_\_\_

24. Amount of Non-Federal Funds Pledged to the Project

CFPR or FAR \_\_\_\_\_

12. Amount of this PIO/T

OBL

U.S. \$ 6,023

25. Effective Date of this Action

1 / 1

13. Amount  Obligated  Subobligated  Deobligated  
by this Contract or Amendment

U.S. \$ 6,023 This PIO/T

26. Estimated Completion/Expiration Date

1 / 1

14. Cumulative Obligation (Life of Contract)

U.S. \$ \_\_\_\_\_

27. Contractor DUNS Number

15. This Action Funded Through

28. Consultant Type Award

YES

NO

16. Date Contractual Documents Signed by AID Official

29. Number of Person Months (PASA/RSSA only)

17. Incrementally Funded Contracts

YES

NO

30. Number of Persons (PASA/RSSA only)

18. Host Country/Counterpart Institution (University Contracts)

31. CONTRACT TYPE

A. Fixed Price (specify:  FFP

FPRD  FPEPA  FPI/

B. Cost Reimbursement

(specify:  CR  CPFF

CS  CPAF  CPIF /

C. IQC and Requirements Contracts

D. Grant/CA/PASA/RSSA

E. Contracts with Individuals

20. ADVANCE

A. No Advance

B. Advance Non-FRLC

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32. Negotiator's Typed Name

E. R. Wills

33. Negotiator's Signature

*E. R. Wills*

34. Date Signed

9, 29, 89

35. Contract/Grant Officer's Organization Symbol

W/FA

36. Contract/Grant Officer's Signature

*[Signature]*

37. Date Signed

09, 29, 89

38. SUBJECT TO STATUTORY REQUIREMENT

- A. Walsh-Healey Act, Manufacturer\*
- B. Walsh-Healey Act, Regular Dealer\*
- C. Service Contract Act  
*(U.S. ONLY - Guards, Maintenance, Laborers)*
- D. Davis-Bacon Act *(Construction)*
- E. Not subject to Walsh-Bacon Act  
*(Most AID Contracts)*

E

\*Equipment, Supplies, Materials, and Commodities

39. Country of Manufacture

10

40. CURRENCY INDICATOR

- A. U.S. Dollar
- B. Local Currency
- C. Combination
- D. Unfunded

A

41. SUBCONTRACTS

Is there a provision for a subcontract? *(Contracts only)*

YES  NO

42. TYPE OF SERVICE

- A. Training of Participants
- B. Technical Assistance to Host Country  
*(Program, Project related except A&E Services)*
- C. A&E Services
- D. Construction
- E. Research
- F. Technical Services to AID  
*(other than training; usually operating expense)*
- G. Training Service for AID
- H. Equipment, Materials, Supplies, Commodities
- I. Translation Service

10

43. CONTRACT/AGREEMENT SOURCE

- A. U.S. Contractor/Grantee
- B. Non-U.S. Contractor/Grantee
- C. Combination of A & B

A

44. TYPE OF AMERICAN OWNERSHIP

*(U.S. Persons or Firms Only)*

- Minority
  - A. Asian/Pacific Islander
  - B. Black American
  - C. American Aleuts or Eskimos
  - D. American Indian
  - E. Hispanic

G

G. Non-Minority

45. METHOD OF SOLICITATION

- A. Sealed Bid
- B. Competitive Proposal
- C. Combination/Competition
- D. Other Competition
- E. Noncompetitive

E

43. LABOR SURPLUS AREA PREFERENCE

- Labor Surplus Area
  - A. No Preference
  - B. Tie Bid Preference
  - C. Total Set Aside
  - D. Not a Labor Surplus Area Preference Award

D

47. TYPE OF BUSINESS

- A. Source: Non-U.S. and Used Outside U.S. & Possessions
- B. Source: Non-U.S. and Possessions  
*(Foreign Purchases Used Inside U.S.)*  
*(If U.S. Source, complete C through Q)*
- C. Firm - Profit Making & PSC's
- Non-Profit Organizations
  - D. Private Educational Organizations
  - E. Hospitals
  - F. Research Institutions, Foundations, and Laboratories
  - G. Other
- Private Voluntary Organizations
  - H. U.S. Registered
  - I. U.S. Non-Registered
  - J. Foreign
- State/Local Government
  - K. Educational Institutions
  - L. Hospitals
  - M. Research Organizations
  - N. Other
- O. International Agricultural Research Organizations
- P. Public International Organizations
- Q. U.S. Cooperatives

G

48. Women Owned Business?

YES  NO

49. TYPE OF AWARD

- Small Business
  - A. Not Set Aside
  - B. Partial Set Aside
  - C. Total Set Aside
- Other Than Small Business
  - D. Personal Service Contract
  - E. Individual Non-Personal Service Contract
  - F. U.S. Government
  - G. University
  - H. Non-Profit Organizations and PVOs
  - I. Large Businesses

A

50. Paying Office:

Payment will be made by

PFM / PM / CM PD / DCB

ORIGINAL

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D C 20523

SEP 29 1989

Dr. Audrey J. Naylor  
Co-Director  
Wellstart/San Diego Lactation  
Program  
P.O. Box 87549  
San Diego, California 92138

Subject: Cooperative Agreement No. DAN-5117-A-00-9099-00

Dear Dr. Naylor

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." or "Grantor") hereby provides to Wellstart/San Diego Lactation Program (hereinafter referred to as "Wellstart" or "Recipient") the sum set forth in Section 1C.2 of Attachment 1 of this Cooperative Agreement to provide support for the Recipient's proposal entitled "Lactation Management Education Activities for Health Professionals from Developing Nations" (Project Director: Dr. Audrey J. Naylor), as more fully described in Attachment 1 of this Cooperative Agreement entitled "Schedule" and Attachment 2 entitled "Program Description."

This Cooperative Agreement is effective and obligation is made as of the date set forth in Section 1B.1. of this Cooperative Agreement and shall apply to commitments made by the Recipient in furtherance of program objectives for the indicated period set forth in Section 1B.2. of Attachment 1 of this Cooperative Agreement. Commitments made by the Recipient shall not extend beyond the indicated period.

The total estimated amount of this Cooperative Agreement is the amount set forth in Section 1C.1. of Attachment 1, of which the amount set forth in Section 1C.2. is hereby obligated. A.I.D. shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount. However, subject to availability of funds, possible evaluation of the program, program priorities at the time, and the requirements of the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget" (as set forth in Attachment 3), additional funds may be obligated under this Cooperative Agreement (by a Cooperative Agreement modification) until such time as the obligated amount shall equal the total estimated amount of this Cooperative Agreement.

ORIGINAL

5

This Cooperative Agreement is made to the Recipient 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 Cooperative Agreement document and have been agreed to by your organization.

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

Sincerely yours,



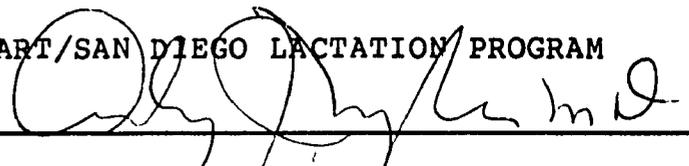
Jay M. Bergman  
Agreement Officer  
Chief, Food and Agriculture Branch  
A.I.D./W Projects Division  
Office of Procurement

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions

ACKNOWLEDGED:

WELLSTART/SAN DIEGO LACTATION PROGRAM

BY: 

TYPED NAME: AUDREY J. NAYLOR, MD

TITLE: President and Co Director

DATE: FEB 02 1990

6

FISCAL DATA

A. General

A.1. Total Estimated Amount: \$7,000,000  
A.2. Total Obligated Amount: \$533,909  
A.3. Project No.: 936-5117  
A.4. A.I.D. Project Office: S&T/N  
A.5. Funding Source: A.I.D./W  
A.6. DUNS Number: 18-878-1298  
A.7. Tax I.D. Number: 33-0118487  
A.8. LOC Number: TBD

B. Specific

B.1.(a) PIO/T No.: 936-5117-3-9361506  
B.1.(b) Appropriation: 72-1191021.8  
B.1.(c) Allotment: 948-36-099-00-20-91  
B.1.(d) BPC: DDHA-89-13600-KG11  
B.1.(e) Amount: \$500,000

B.2.(a) PIO/T No.: 936-5117-3-9361595  
B.2.(b) Appropriation: 72-1191021.7  
B.2.(c) Allotment: 947-36-099-00-20-91  
B.2.(d) BPC: DDCA-89-13600-KG11  
B.2.(e) Amount: \$27,886

B.3.(a) PIO/T No.: 936-5117-3-9361506, A1  
B.3.(b) Appropriation: 72-1191021.8  
B.3.(c) Allotment: 948-36-099-00-20-91  
B.3.(d) BPC: DDHA-89-13600-KG11  
B.3.(e) Amount: \$6,023

**FUNDS AVAILABLE**  
*Glenn Craig*  
**SEP 30 1989**  
6/24/90  
Program Acctg Fin Division  
Office of Financial Management

ATTACHMENT 1

SCHEDULE

1A. PURPOSE OF AGREEMENT

The purpose of this Cooperative Agreement is to provide support for the proposal entitled "Lactation Management Education for Health Professionals" (Project Director: Dr. Audrey J. Naylor), as more fully described in Attachment 2 of this Cooperative Agreement entitled "Program Description".

1B. PERIOD OF GRANT

The effective date of this Cooperative Agreement is the date of the Cover Letter and the estimated completion date is September 29, 1994. Funds obligated hereunder are authorized for program expenditures and are anticipated to be sufficient to cover activities through approximately February 15, 1990.

AMOUNT OF COOPERATIVE AGREEMENT AND PAYMENT

1C.1. The total estimated amount of this Cooperative Agreement for its full period, as set forth in Section 1B. above, is \$7,000,000.

1C.2. A.I.D. hereby obligates the amount of \$533,909 for program expenditures during the indicated period set forth in Section 1B. above. A.I.D. shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

1C.3. Payment shall be made to the Recipient in accordance with procedures set forth in the Standard Provision of this Cooperative Agreement entitled "Payment - Letter of Credit", as shown in Attachment 3.

8

**1D. COOPERATIVE AGREEMENT BUDGET**

1D.1. The following is the Budget for this Cooperative Agreement. The Recipient may not exceed the total estimated amount or the obligated amount, whichever is less (see Section 1C. above). Except as specified in the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget", as shown in Attachment 3, the Recipient may adjust line item amounts as may be reasonably necessary for the attainment of program objectives.

**1D.2. Budget**

<u>Cost Element</u>	<u>Amount</u>
Salaries	\$3,519,927
Benefits	1,079,976
Program Participants and Fellowships	616,973
Other Direct Costs	428,285
Subtotal	<u>\$5,645,161</u>
Overhead	1,354,839
TOTAL	<u>\$7,000,000</u>

1D.3. Inclusion of any cost in the budget of this Cooperative Agreement does not obviate the requirement for prior approval by the Agreement Officer of cost items designated as requiring prior approval by the applicable cost principles (see the Standard Provision of this Cooperative Agreement set forth in Attachment 3 entitled "Allowable Costs") and other terms and conditions of this Cooperative Agreement, unless specifically stated in Section 1J. below.

**1E. REPORTING**

**1E.1. Financial Reporting**

1E.1.(a) Financial reporting requirements shall be in accordance with the Standard Provision of this Cooperative Agreement entitled "Payment - Letter of Credit", as shown in Attachment 3.

1E.1.(b) All financial reports shall be submitted to A.I.D., Office of Financial Management, PFM/FM/CMPD/DCB, Room 700 SA-2, Washington, D.C. 20523-0209. In addition, three copies of all financial reports shall be submitted to the A.I.D. Project Office specified in the Cover Letter of this Cooperative Agreement.

1E.1.(c) The frequency of financial reporting and the due dates of reports shall be as specified in the Standard Provision of this Cooperative Agreement referred to in Section 1E.1.(a) above.

## 1E.2. Technical Reporting

### 1E.2.(a) Quarterly Reports

The Recipient shall submit three copies of quarterly program performance reports, which coincide with the financial reporting periods described in Section 1E.1. above, to the A.I.D. Project Office specified in the Cover Letter of this Cooperative Agreement. These reports shall be submitted within 30 days following the end of the reporting period, and shall briefly present the following information:

1E.2.(a)(1) A comparison of actual accomplishments with the goals established for the period, the findings of the investigator, or both. If the output of programs can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

1E.2.(a)(2) Reasons why established goals were not met, if applicable.

1E.2.(a)(3) Other pertinent information including the status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs.

### 1E.2.(b) Special Reports

Between the required program performance reporting dates, events may occur that have significant impact upon the program. In such instances, the Recipient shall inform A.I.D. as soon as the following types of conditions become known:

1E.2.(b)(1) 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 work units by established time periods. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any A.I.D. assistance needed to resolve the situation.

1E.2.(b)(2) Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.

1E.2.(b)(3) If any performance review conducted by the Recipient discloses the need for change in the budget estimates in accordance with the criteria established in the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget", the Recipient shall submit a request for budget revision to the Agreement Officer and the A.I.D. Project Officer specified in the Cover Letter of this Grant.

1E.2.(c) Final Report

Within 90 days following the estimated completion date of this Cooperative Agreement (see Section 1B.1. above), the Recipient shall submit three copies of a final report to the A.I.D. Project Office specified in the Cover Letter of this Cooperative Agreement. It will cover the entire period of the Cooperative Agreement and include all information shown in Sections 1E.2.(a)(1) through 1E.2.(a)(3) above.

1E.3. Participant Training

If the Standard Provision entitled "Participant Training" applies to this Grant (see Section 1K.2. below), the Grantee shall comply with reporting and information requirements of said Standard Provision, as well as Chapter 5 of A.I.D. Handbook 10.

1F. SUBSTANTIAL INVOLVEMENT UNDERSTANDINGS

It is understood and agreed that A.I.D. will be substantially involved during performance of this Cooperative Agreement as follows:

1F.1. All of the Recipient's key personnel shall be approved by the A.I.D. Project Officer specified in the Cover Letter of this Cooperative Agreement.

1F.2. The Recipient's Project Manager may only be replaced with A.I.D. approval.

1F.3. A.I.D. will be a member of any advisory committee or group with which the Recipient shall collaborate.

1F.4. All consultants employed to carry out activities of this Cooperative Agreement will be subject to agreement by the A.I.D. Project Officer.

1F.5. All travel undertaken under this Agreement will be subject to approval by the A.I.D. Project Officer.

1F.6. The choice of countries in which activities will be carried out is subject to approval by the A.I.D. Project Officer.

1F.7. The Recipient shall inform the A.I.D. Project Officer of plans to submit papers, participate in workshops, seminars, or conferences (including in-country training workshops), in which material developed through funds from this Cooperative Agreement is presented.

1F.8. The Recipient shall not make any changes in curriculum or other aspects of the Lactation Management Education Course without the approval of the A.I.D. Project Officer.

1F.9. The Recipient shall send the A.I.D. Project Officer a list of course participants, their title and address along with a course schedule prior to each course.

1F.10. The Recipient shall work collaboratively with the A.I.D. Project Officer to develop any follow-up evaluations of country projects developed as a result of participation in the Wellstart Lactation Management Education Course.

1F.11. The Recipient will work collaboratively with the A.I.D. Project Officer in the development of course content, curriculum development, the advanced study fellowship program, program evaluation and applied research.

1F.12. The Recipient will submit an Annual Workplan within thirty (30) days of the signing of this Cooperative Agreement, and yearly thereafter, as well as Quarterly Progress Reports which will be subject to approval in draft by the A.I.D. Project Officer.

**1G. TITLE TO PROPERTY**

Title to property acquired hereunder shall vest in the Recipient. The Standard Provision of this Cooperative Agreement entitled "Title To and Use of Property (Grantee Title)" applies. Use, accountability, and disposition of property acquired hereunder shall be in accordance with said Standard Provision.

**1.H. AUTHORIZED GEOGRAPHIC CODE**

In addition to other applicable provisions of this Cooperative Agreement, the Recipient shall comply with paragraph (b)(1) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services", concerning total procurement value of less than \$250,000 under this Cooperative Agreement, except that said paragraph does not apply to the restricted goods listed in paragraph (a)(3) of said Standard Provision, which must be specifically approved by the Agreement Officer in all cases. Paragraph (b)(2) of said Standard Provision does not apply.

**1I. INDIRECT COST RATES**

1I.1. Pursuant to the Standard Provisions of this Cooperative Agreement entitled "Negotiated Indirect Cost Rates - Provisional," an indirect cost rate or rates shall be established for each of the Recipient's accounting periods which apply to this Cooperative Agreement. Pending establishment of revised provisional or final indirect cost rates for each of the Recipient's accounting periods which apply to this Cooperative Agreement, provisional payments on account of allowable indirect costs shall be made on the basis of the following negotiated provisional rate applied to the base which is set forth below:

<u>Rate</u>	<u>Base</u>	<u>Period</u>
30.8%	*	10/01/87 Until amended

\*Base of Application: Total salaries and fringe benefits:

13

1J. SPECIAL PROVISIONS

1J.1. Cost Principles

For the purposes of this Cooperative Agreement, references to the cost principles of OMB Circular A-21 or OMB Circular A-122 include the A.I.D. implementation of such cost principles, as set forth in Subparts 731.371(a) or 731.772(a), respectively, of the A.I.D. Acquisition Regulation (48 CFR Chapter 7).

1J.2. Equipment and Other Capital Expenditures

Pursuant to Section 1D.3. above and the Standard Provisions of this Grant entitled "Allowable Costs," and "Revision of Grant Budget", and by extension, Section 13 of Attachment B of OMB Circular A-122, whereby the Grantee must obtain A.I.D. Grant Officer approval for purchase of general purpose equipment (i.e., an article of nonexpendable tangible personal property which is usable for other than research, medical, scientific or technical activities, whether or not special modifications are needed to make them suitable for a particular purpose [e.g., office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, and automatic data processing equipment], having a useful life of more than two years and an acquisition cost of \$500 or more per unit); purchase of special purpose equipment (i.e., an article of nonexpendable tangible personal property, which is used only for research, medical, scientific, or technical activities [e.g., microscopes, x-ray machines, surgical instruments, and spectrometers], and which has a useful life of more than two years and an acquisition cost of \$1,000 or more per unit), the Grant Officer does hereby provide such approval for the following (which shall not be construed as authorization to exceed the total estimated amount or the obligated amount of this Grant, whichever is less [see Section 1C. above]):

1J.3. Transfer of Equipment from Grant No. DAN-1010-G-SS-5118-00

All equipment acquired by the Recipient under Grant No. DAN-1010-G-SS-5118-00 is hereby transferred to this Cooperative Agreement for use, accountability, and disposition hereunder.

1K

RESOLUTION OF CONFLICTS

Conflicts between any of the Attachments of this Grant shall be resolved by applying the following descending order of precedence:

- Attachment 1 - Schedule
- Attachment 3 - Standard Provisions
- Attachment 2 - Program Description

1L. STANDARD PROVISIONS

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

1K.1. Mandatory Standard Provisions For U.S., Nongovernmental Grantees

- ( X ) Allowable Costs (November 1985)
- ( X ) Accounting, Audit, and Records (January 1988)
- ( X ) Refunds (January 1988)
- ( X ) Revision of Grant Budget (November 1985)
- ( X ) Termination and Suspension (May 1986)
- ( X ) Disputes (March 1987)
- ( X ) Ineligible Countries (May 1986)
- ( X ) Debarment, Suspension, and Other Responsibility Matters (March 1989)
- ( 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)

1K.2. Additional Standard Provisions For U.S., Nongovernmental Grantees

- ( X ) Payment - Letter of Credit (November 1985)
- ( ) Payment - Periodic Advance (January 1988)
- ( ) 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)
- ( X ) Subagreements (November 1985)
- ( X ) Local Cost Financing (November 1988)
- ( X ) Patent Rights (November 1985)
- ( X ) Publications (November 1985)
- ( X ) Negotiated Indirect Cost Rates - Predetermined (May 1986)
- ( X ) 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)
- ( ) 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)
- ( ) Cost Sharing (Matching) (November 1985)
- ( X ) Use of Pouch Facilities (November 1985)
- ( X ) Conversion of United States Dollars to Local Currency  
(November 1985)

ATTACHMENT 2

PROGRAM DESCRIPTION

The Recipient's proposal entitled "Lactation Management Education Activities for Health Professionals from Developing Nations" and dated August 1989 is attached hereto as the Program Description (Attachment 2) and is made a part of this Cooperative Agreement.

**Continuation of Lactation Management**

**Education Activities for Health**

**Professionals from Developing Nations**

**Request for Funding**

**October 1, 1989 - September 30, 1994**

**Agency:**

**Wellstart/San Diego Lactation Program  
4062 First Avenue  
San Diego, California 92103**

**Project Co-Directors:**

**Audrey J. Naylor, MD, DrPH  
Ruth A. Wester, BA, RN, CPNP**

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## APPENDICES

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## **I. BACKGROUND**

### **A. The Problem: The Need for Breastfeeding Promotion and Health Professional Education.**

Breastfeeding is a basic component of any successful child survival strategy. The superbly balanced nutrients and enzymes, the life-protecting immunological substances and epidermal growth factor, and the adjustment of this content to match the changing needs of the infant, are remarkable. The frequent physical contact entailed in breastfeeding also assures continuing protection and warmth for the infant while the cooperative nature of the dyad interaction during nursing enhances the baby's emotional development and socialization.

Breastfeeding also contributes to a mother's maternal sensitivity and to her successful transition from a pregnant to non-pregnant state. Post-partum bleeding is minimized and uterine involution assured by the oxytocin-induced uterine contractions which accompany suckling. Maternal protein, iron and other nutrients needed during the postpartum period are conserved by lactational amenorrhea. The anovulatory state which accompanies the frequent nursing pattern characteristic of exclusive breastfeeding can extend pregnancy intervals to 18 months or more. A totally dependent infant can thus become a somewhat more independent toddler before maternal attention must be diverted to the next baby.

The gradual decline in both the incidence and duration of breastfeeding reported in developing nations during the past 10 to 15 years is a major concern to all who have an interest in child survival. The declines, concentrated in the rapidly growing urban and periurban areas, are the result of the complex interaction of several phenomena: the widespread availability of substitutes; an erroneous belief that to use the substitute is modern and healthier; a common and incorrect view that breastfeeding and working are incompatible; and the increasingly frequent separation from supportive extended families to assist new parents during their adjustment.

The urban declines are also influenced by increasing utilization of modern medical systems for prenatal, intrapartum and postpartum care. Nurses, physicians, nutritionists and others who provide care and establish institutional policies and procedures for new mothers and infants rarely have the knowledge and skills to support and assist lactation and the breastfeeding mother. The complexity of breast and neonatal physiology, as well as newborn and infant neurodevelopmental factors involved in successful lactation and breastfeeding, are poorly understood by most health care providers. In addition, many health care providers are still not well informed regarding the extent of the benefits of breastfeeding and have no professional commitment to it. These deficiencies in health care provider knowledge lead to expectant and new mothers receiving incorrect information and being faced with a variety of barriers to both the initiation and continuation of breastfeeding.

The influence of these deficiencies in health care provider knowledge is not limited to the urban setting. These same professionals often have assignments in outlying regions, or are responsible for teaching others who do. In addition, they are frequently influential in the establishment of policies and procedures which affect care in rural areas. It is thus essential to include lactation management education for health care providers in any serious plan to promote and protect breastfeeding.

**B. The Solution: Lactation Management Education for Health Professionals from Developing Countries.**

In 1977, The San Diego Lactation Program (SDLP) (now known as Wellstart) initiated a pioneering effort in the training of health care providers by designing and offering a series of formal educational experiences in lactation management to medical and nursing students and residents training in the perinatal specialties at the University of California San Diego Medical Center (Appendix 1). The effort was well accepted and in 1982 the SDLP was asked by the International Nutrition Communication Service (INCS) to extend the expertise it had acquired in this area to help meet a similar need identified in developing countries. In August of 1983, "Lactation Management Training for Health Professionals in Developing Countries" was undertaken with USAID funding via a sub-contract with INCS. During this first phase, a multi-component program was developed and offered to 15 nurse-physician teams from teaching hospitals in 10 developing countries. (See Appendix 2 Description of the Seven Program Components).

Anecdotal reports from the field, brief clinical research studies carried out by Program participants and results of an independent evaluation of the several projects supported under USAID's Maternal and Infant Nutrition umbrella project (which included the Lactation Management Training Project) all gave strong indications that the program was having a significant effect. Not only had the knowledge of the members of the participant teams been increased, but the information had also reached other health care providers in their hospitals. The overall result was improved maternal-infant care practices, increased rates of exclusive breastfeeding at hospital discharge and impressive declines in neonatal morbidity and mortality. Additionally, through secondary training provided by the participant teams, other hospitals, clinics and health care providers in their communities were affected, including many from the primary care level.

In 1985 the San Diego Lactation Program completed the necessary steps to become an independent non-profit organization with a new name, Wellstart, and submitted a proposal for direct grant funding from the Office of Nutrition, Bureau of Science and Technology, USAID Washington.

In September of 1985 a centrally funded grant (DAN-1010-G-SS-5118-00) was approved, providing support to the program for continuation and further development of the project for 18 months (October 1, 1985 through March 30, 1987). It soon became evident that to respond effectively to the increasing numbers of requests for participation in the Program, an expansion and extension of the Program would be needed. A revised proposal requesting funding for the needed changes was submitted in June 1986 and approved in September 1986, expanding the grant and extending the period from October 1, 1985 through September 30, 1988. An additional extension through September 30, 1989 was approved in September 1988, assuring continuation through the remaining and final year of the Maternal and Infant Nutrition umbrella project under which the Lactation Management Education Program had been supported.

**II. REVIEW OF ACCOMPLISHMENTS DURING CURRENT GRANT PERIOD  
(October 1, 1985 - September 30, 1989)**

**A. Accomplishments in Areas of Activity Planned in the Grant Proposal**

The fully expanded grant has consisted of six activity areas; progress made within each of these areas through May 1989 is briefly summarized below:

- 1. Provision of opportunities for participation in the Lactation Management Education (LME) Program to additional multidisciplinary teams from teaching hospitals in developing nations.**

Objectives in the original expanded proposal included providing 12 courses for 160 health care professionals. As of this writing, a total of twelve courses, 7 English courses and 5 Spanish courses, have been provided for 148 health professionals (35 teams) from 20 developing countries. By September 30, 1989, when this grant period is officially completed an additional course will have been provided for 15 health professionals already identified from Kenya and Nigeria, raising the number of participants to 163. Since the inception of the original project in 1983, 199 professionals from 21 countries, 19 of which are USAID focus countries, will have participated. (A listing is included as Appendix 3).

- 2. Provision of opportunities for participation specifically for professionals responsible for training non-physician health care providers.**

To date, 112 of the 199 health professionals (34 physicians, 75 nurses and 3 nutritionists) who have participated in the Program since 1983 have had responsibilities for teaching non-physician health care providers region- or nation-wide (nurses, nutritionists, midwives, paramedical professionals, lay volunteers, etc.). In addition, because many of the teams participating in the LME Program are working on comprehensive national efforts, the implementation plans which they have developed are broad in scope and specifically include provision of training for non-physician, community health or primary care providers.

Follow-up visits in-country have provided opportunities to observe examples such as courses for nursing students in Thailand and midwifery students in Indonesia and the Philippines; training of traditional birth attendants in West Sumatra; and the establishment of a program whereby trained mother volunteers go into the homes of new mothers in an urban, low income neighborhood in Korat, Thailand to help insure successful lactation and breastfeeding.

- 3. Modification of selected Program components to assure that the expanded activities are successfully incorporated.**

The Lactation Management Education Program includes seven components. Modifications have been made within each of these as follows:

**Component 1: Recruitment/Selection**

- a) A comprehensive recruitment and outreach strategy has been developed and implemented. Adjustments in strategy have included an increased focus on**

**institutions/countries rather than individuals and on recruitment of multidisciplinary health professional leadership (department chiefs, hospital directors or senior supervisors of nursing, etc.).**

- b) A complete data base/mailling list of key individual and organizational resources for funding and for appropriate participants has been compiled and updated.**
- c) In November, 1988, an international mailing of descriptive information (detailed cover letter and brochures) and interest assessment survey was carried out. (Example attached as Appendix 4). A total of 9,500 information/survey packets were mailed to medical societies and schools, nuraing societies and schools, and miscellaneous government and non-government agencies working in child survival in USAID focus countries. To date over 920 completed surveys have been returned. A preliminary tally of the surveys and letters returned thus far reveals universal agreement on the need for LME and widespread interest in participation in Wellstart's LME Program.**
- d) Ongoing communication/networking worldwide with USAID Bureaus, Missions and other organizations with child survival projects and interests has been strengthened and increased.**
- e) A program brochure has been produced, updated periodically and widely distributed.**
- f) Outreach and education efforts in Africa have been expanded.**
- g) Specific recruitment/selection of chiefs of services and other high level professionals with policy-making power has been undertaken.**
- h) Administrative and program management procedures have been improved to insure adequate and complete record keeping as well as standardized and timely communication with applicants, Missions and other pertinent agencies.**

**Component 2: Education/Motivation**

- a) A wide variety of materials (videos, slides, slide-tape sets, books, reprints) for use during courses have been added to the collection of teaching resources.**
- b) All Program teaching materials have been translated into Spanish.**
- c) The Program's rapidly growing Spanish language library has been expanded with both written and audio visual resources.**
- d) Standardization/systematization of all appropriate course components and development of a formal course syllabus in both English and Spanish have been completed. Those course components that should remain flexible and responsive to participant needs have been identified and are modified as needed taking into account the demographics, economy, and available resources of each participant country.**
- e) Additional focus within the teaching curriculum has been placed on**

**multidisciplinary curriculum development, program planning and evaluation, and interdisciplinary team dynamics.**

- f) A specialized reference collection and technical expertise have been developed regarding AIDS and breastfeeding.**
- g) A modified one to two week experience for top-level hospital administrators has been offered during three separate LME courses.**

**Component 3: Intervention Planning**

- a) All intervention plans developed by Program participants during the course phase of their program have been distributed to the associated USAID Regional Bureaus and Missions, as well as to S&T/N, AID-Washington.**
- b) The importance of the intervention planning component to the overall implementation process has received increasing attention, including designation of additional time for technical assistance in the area of program development and evaluation and for actual planning during the LME course.**
- c) Adjunct faculty with specialized expertise in program planning and evaluation have been added to each course to assist with the intervention planning process.**

**Component 4: Material Support**

- a) To date, a total of 8,169 teaching slides, 37 slide/tape sets, 37 videos, 229 textbooks, 12,395 reprints, and 101 miscellaneous audiovisual and teaching aides all relating to lactation, infant feeding, and maternal and infant health and nutrition, have been selected and distributed to participant teams.**
- b) A study undertaken to determine those teaching slides most often selected by teams identified approximately 200 slides. These have been organized as a complete and self-contained set.**
- c) As of May 31, 1989, a total of 246 reprints in addition to those noted above (six each month beginning in January of 1988) have been selected, duplicated and mailed out to all selected Program participants as part of the Program's "Reprint-of-the-Month" Project.**

**Component 5: Intervention Implementation**

- a) Increased contact and improved relationships have been established with in-country AID Mission officers and AID Regional Bureaus (especially Asia and Africa).**
- b) Increased and improved cooperative partnerships have been established with a number of other organizations. (See Section 5 for detailed information on partnerships developed with other organizations).**

**Component 6: Follow-up**

- a) To date, a total of 12 follow-up Continuing Education and Support (CES) visits**

have been made to seven countries (Indonesia, Thailand, the Philippines, Egypt, Kenya, Honduras and Bolivia).

- b) A visit was made to Honduras to plan and discuss implementation of the 1988 Honduran Baseline Evaluation for Maternal and Child Health Care with Emphasis on Breastfeeding.
- c) Four reconnaissance visits (Ecuador, Kenya, Nigeria and Pakistan) have been made by Wellstart staff.
- d) Three issues of the newsletter for Program participants have been produced and widely distributed.
- e) The most recent issue of the newsletter was translated into Spanish and distributed to all Spanish speaking participants, related USAID Missions, Bureaus and appropriate agencies.
- f) A survey was sent to all Program participants (both an English and Spanish version were created) designed to elicit the following information: 1) team activities since participation in the Program; 2) additional information on recent accomplishments and occurrences for inclusion in the next Program newsletter; and 3) follow-up, technical assistance and continuing education areas that the teams feel are of highest priority. It is anticipated that this information will be of help in setting Program priorities and the subsequent allocation of resources, and thus help to insure that participating teams are provided with the support that is most needed and most likely to lead to successful and sustainable outcomes. (See Appendix 5 for the survey questionnaire and preliminary results).

**Component 7: Expansion of Participant Activities**

- a) Steps have been taken to insure adequate communication and coordination with key agencies concerned with issues of child survival, primary health care, family planning, nutrition and food programs. These steps include sharing the information through telephone contact and letters; subscription to newsletters; presentations of conferences and meetings; exhibition of Program materials at international meetings; etc. These steps have been interfaced with other related components such as recruitment, intervention planning and implementation.
- b) Arrangements were made and funding provided to allow Dr. Ricardo Gonzales (Medical Center Chief from the Philippines and Program participant, May-June 1988) to present papers describing the very successful hospital-based breastfeeding promotion and protection model at Jose Fabella Memorial Hospital. Changes brought about at Fabella are particularly impressive in light of the hospital's large service load of 80 to 100 deliveries per day.
- c) Dr. Veronica Valdes (pediatrician from Chile and participant in the Wellstart Program, August-September 1988 course) joined the Wellstart team for the visits paid to Ecuador and Bolivia in March 1988. Dr. Valdes will now be called upon for CES visits provided for Spanish-speaking participant teams.

**4. To respond to additional requests for technical assistance from both past participants and others.**

Between October 1, 1985 and March 31, 1989 Wellstart responded to eight additional requests for technical assistance including:

- a) Implementation of the 1986 Baseline Evaluation for Maternal and Child Health Care with Emphasis on Breastfeeding in Honduras. A methodology paper and report of this national baseline study's results were written and distributed. (Requested by AID Missions).
- b) In-country teaching programs in several countries, including Kenya and Indonesia. (Requested by AID Missions).
- c) Development of a plan for a clinical research proposal to be based at Nakornrajisima Hospital in Thailand. (Requested by past participants and AID Mission).
- d) Provision of a clinical and institutional observation experience for a physician from the Philippine, interested in establishing a milk bank at the major maternity hospital in Manila. (Requested by AID Mission and ANE Bureau).
- e) Early discussions of a possible Regional Lactation Center in Nairobi, Kenya. Process has included draft proposal preparation, correspondence, and meetings with involved individuals and agencies. (Requested by S&T/N, AID Washington and AID Mission).
- f) Provision of an Invitational Asian Regional Lactation Management Workshop in Bali, Indonesia in July, 1988. The 85 participants included all Program participants from Indonesia, Thailand and the Philippines as well as ministry of health and USAID representatives from each of the three countries. Extensive technical assistance, information and clinical updates were also provided. A formal publication of the proceedings will be distributed to all LME Program participants, the APHA Clearinghouse, USAID Missions and the ministries of health in the Asian region, as well as to other appropriate individuals and organizations. (Requested by the ANE Bureau).
- g) Participation in designing improved infant feeding activities under the proposed FY 1989 Philippine bilateral child survival program. Activities have included follow-up of recommendations resulting from a consulting team's July 1988 assessment of options; recruitment of a consultant to provide input into the Mission's child survival strategy; planning for FY 1989, training of selected Philippine participants at San Diego, assistance in organizing activities in the Philippines; undertaking a feasibility study for developing a National Lactation Center in a training institution in the Philippines; and arranging seminars and workshops. (Requested by the ANE Bureau).
- h) Participation by Wellstart's Medical Co-Director in six regional and one national workshop/seminar on breastfeeding and child survival in Pakistan, November 5-23, 1988. Other activities during this consultancy included observation of actual services related to lactation and breastfeeding management in health care settings; and participation in the production by UNICEF of a video tape to be

used for staff orientation, discussion with the press, and other UNICEF educational activities. (Requested by the Government of Pakistan, the Pakistan Pediatric Association, AID Mission and UNICEF).

**5. To develop partnerships with other organizations.**

As of this writing, Wellstart has developed and strengthened cooperative partnerships with 26 organizations and agencies with interests in child survival and nutrition. These organizations and agencies are listed below:

**Academy for Educational Development (AED)**

Ongoing collaboration on the Nutrition Education Social Marketing Field Support Project.

**Ambulatory Pediatric Association/American Pediatric Society/Society for Pediatric Research**

Program Co-Director responsible for founding an interest group which sponsors an annual mini-symposium on issues relating to human milk and lactation.

**American Academy of Pediatrics**

Wellstart Co-Director was invited to attend a meeting of the Academy's Task Force on International Health and discuss the LME Program

**APHA Clearinghouse on Infant Feeding and Maternal Nutrition**

Ongoing sharing of information and expertise; Wellstart assisted in gathering information for breastfeeding information kit. The clearinghouse will assist Wellstart in distribution of proceedings for Invitational Asian Regional Workshop and Related Events.

**Behavioral Aspects of Child Survival: Literature Review and Consultation Project**

Wellstart provided information from its reprint library, collaborated on gathering information from the field and has provided consultation to Project directors.

**Bureau of Maternal and Child Health and Resources Development, Federal Department of Health and Human Services**

Implementation of a continuing education project for teams of health professionals from all 10 Public Health regions in the United States. Project based on the educational model developed during this grant period. Project activities complement and reinforce AID Program activities.

**Center to Prevent Childhood Malnutrition**

Sandra Huffman, President of the Center, joined Wellstart's adjunct faculty for the March LME course, viewed Wellstart's facilities and Program in action and discussed issues of mutual concern and interest with Program staff.

**CHIPPS, Indonesia**

Provided funding and logistical support for Program participants from Indonesia.

**Development Associates**

Wellstart provided consultation services for study of the promotion of breastfeeding in the USDA's Supplemental Food Program for Women, Infants and Children (WIC).

**Dietary Management of Diarrhea Project, Johns Hopkins University**

Ongoing sharing of information and expertise.

**Family Health International (FHI)**

Wellstart participated with FHI staff on site visit to the Philippines, July 1988.

**Ford Foundation**

The Foundation provided travel funding for Program participants from Kenya.

**Institute for International Studies in Natural Family Planning (IISNFP), Georgetown University**

Continuing discussions and planning for collaboration on lactation management training for Latin America have occurred. Wellstart has provided education/training to IISNFP-sponsored participants from Chile and Peru. Program Co-Director was asked to participate in the IISNFP-sponsored workshop on state of the art breastfeeding promotion efforts, held in December, 1988 in Washington, D.C.

**German Agency for International Development**

This agency provided travel funding for Program participants from Kenya.

**International Center for Research on Women**

Ongoing sharing of information and expertise.

**International Society for Research on Human Milk and Lactation**

Program Co-Director is a member of the Executive Committee.

**Manoff International**

Ongoing sharing of information and expertise.

### **National Council for International Health (NCIH)**

Program Co-Director asked to participate in a workshop co-sponsored by NCIH and UNICEF, held December 10, 1988 in New York City, entitled "Breastfeeding: The Passport to Life".

### **Partners for International Education and Training (PIET)**

Wellstart provided education/training to PIET-sponsored participants from El Salvador, Bolivia and Egypt. In addition, PIET has disseminated information about the Wellstart Program worldwide.

### **PERINASIA (The Indonesian Society for Perinatology)**

Wellstart established a subgrant agreement with PERINASIA to assist in the provision of the Invitational Asian Regional Workshop and related events in Bali, Indonesia and the printing and distribution of the formal proceedings.

### **Population Council**

Two awards of Population Council funds have been utilized to sponsor participation in the LME Program by a team of 5 from Mexico City and a team of 5 from Lima, Peru. Additionally, a two month advanced study Fellowship will be sponsored by the Council during July and August 1989.

### **PRITECH II**

Wellstart has agreed to collaborate on several projects being planned.

### **UNICEF**

Wellstart's Co-Director made a presentation on the contribution of breastfeeding to Child Survival at a UNICEF meeting in May, 1988. Ongoing discussions have been held with UNICEF's Infant Feeding Project Officer on possible collaborative projects. A visit was paid by the Infant Feeding Officer during August-September, 1988 LME course, including active participation in course activities, a formal presentation, and discussions with Program staff; an Audio-Visual Productions Specialist on contract to UNICEF spent several days during the March 1989 course reviewing slides, videos and other miscellaneous materials, as well as discussing with the Program participants and Wellstart staff the content and distribution ideas for a UNICEF-funded 25 minute slide/tape series on breastfeeding designed to reach and influence politicians, policy setters, educators and other decision makers.

### **U.S. Committee for UNICEF's Campaign for Child Survival**

Assisted in Child Survival Open House, October 1987, sponsored by Wellstart.

## **World Health Organization (WHO)**

Provision of a 2 month Wellstart/WHO fellowship for a Polish pediatrician who is responsible for developing a national breastfeeding promotion program in Poland. Discussions held with Dr. José Martinez, Technical Officer, Diarrheal Diseases Control Programme, concerning future collaborative efforts and the possibility of funding research projects in participating institutions. All Wellstart colleagues informed of WHO interest and urged to submit proposal ideas. Eighteen teams (69 participants) from 9 countries have responded.

- 6. To strengthen existing resources to assure successful implementation of the expanded project.**
- a) Additions and modifications to Program staff have been made in an effort to optimize personnel resources and meet growing staffing needs. This complex and time consuming process has included the recruitment, selection, orientation and training of eight new full-time clinical and administrative staff, bringing the current staff total to 12 full-time and two part-time employees. In addition, efforts have been made to improve and/or develop standardized procedures (both programmatic and administrative support) and to document those procedures in user-friendly manuals.
  - b) Expansion and renovation of Program facilities has also occurred. An adequately sized and appropriately equipped classroom was created, as was a separate small library and additional clinical, office and conference space. Necessary parking spaces were also added. (Note: Facilities are leased. Renovations completed by property owners).
  - c) Wellstart's clinical teaching model, including patient recruitment, provision of in-patient consultation for UCSD Medical center, and housestaff teaching activities has been strengthened.
  - d) Wellstart's extensive library of reprints, text books, journals and audiovisual aids has been expanded, catalogued, re-organized, and largely computerized.
  - e) Wellstart's large collection of teaching slides has been updated, catalogued and re-organized.

## **B. Additional Accomplishments Not Planned in Original Grant Proposal**

A number of additions to the original plan have added significantly to Wellstart's accomplishments during this grant period. These include:

1. An advanced study Fellowship Program was developed to invite selected Program participants to return to San Diego after completing their initial course work and receive further in-depth clinical and teaching experience by functioning as a co-faculty member during a subsequent course. The fellowship program was piloted with a bilingual pediatrician who had been a participant in the August-September 1986 course. She was invited to assist in this capacity during modified Spanish language courses held between 1986 and 1989. These experiences rapidly increased the knowledge base and teaching abilities of this participant and helped her make major changes in two hospitals where she works, as well as prepare her for participation as a member of a Wellstart

consulting team for the reconnaissance/CES visit to Ecuador and Bolivia. She will now be available to assist Wellstart in providing technical assistance, particularly to participating Latin American countries.

In addition, a pediatrician from Warsaw, Poland completed a two month Wellstart fellowship (funded by UNFPA/WHO) in March, 1989. From July to September 1989 two more participants will join the Advanced Study Fellowship Program.

2. Though not part of the original budget plan, on several occasions, qualified applicant teams were completely unable to identify travel funds. With Project Officer approval, grant funds were made available to insure participation by these applicant teams (39 participants). Wellstart staff handled all travel and payment arrangements.
3. Public and professional awareness about the Program, breastfeeding, the GOBI Campaign, issues of child survival and USAID's contribution to the strategy for Child Survival was increased through a variety of mechanisms:
  - a) A Child Survival Open House in conjunction with the U.S. Committee for UNICEF's Campaign for Child Survival was held in Wellstart's facilities (October 1987).
  - b) The Mayor of the City of San Diego proclaimed "Child Survival Week" on behalf of Wellstart (October 1987).
  - c) Cable News Network (CNN) filmed and broadcast a story nationwide on Wellstart's Program, featuring the LME course for health professionals from El Salvador (December 1987).
  - d) Frequent lectures and presentations on Child Survival have been given by Program staff to health professionals both nationally and internationally.
4. Buy-in and other AID non-core grant funding to support the LME program between February, 1988 and April 1989 totaled over \$800,000. These additional funds greatly increased the scope and effectiveness of the core grant activities. (See Appendix 8 for summary statement).

In summary, significant accomplishments have been achieved in all six areas of Program activity as planned in the original and expanded proposals. In some areas, achievement has exceeded original intentions and several activities were actually added and successfully carried out after the Program was already well underway.

### **C. Impact**

Though a formal evaluation of the Program's impact has not been completed, several indications from the field suggest significant effects. Examples include the following:

1. In preparation for the July 1988 Asia/Near East regional workshop, participants from Indonesia, Thailand and the Philippines were asked to complete a questionnaire on team activities and changes made in their hospitals since they began their participation in the

**LME Program.** Some of the effects reported for the 15 hospitals represented include an 85% reduction in average age in hours at first breastfeeding for normal vaginal deliveries, a 100% reduction in hospitals requiring a pre-lacteal feeding, and an 82% decline in hospitals giving breastfed infants routine supplements. In addition, a breastfeeding committee had been established in all 15 hospitals. (Appendix 7). These figures are particularly impressive in light of the fact that the hospitals represented deliver more than 94,000 infants a year.

2. Two papers published during this grant period by LME Program participants from Semarang and Denpasar, Indonesia have demonstrated a significant decrease in infant morbidity and mortality resulting from implementation of full rooming-in established as a direct result of their participation in the Program. In Semarang cases of neonatal diarrhea which occurred regularly disappeared after full rooming-in began. In Denpasar, neonatal otitis media declined from a case rate of 11% to less than 1%.

These papers also describe the decrease in use of costly supplies which followed rooming-in. For example in Denpasar the monthly use of purchased formula dropped from an average of 100 tins to 26 tins. The decline in neonatal morbidity resulted in a drop in the need for IV fluids from an average of 136 bottles per month to 74 bottles averaged over a period of six months before and after rooming-in was established. (Appendix 8).

3. Two additional preliminary reports from research activities carried out by two Wellstart participants after they had begun to make changes in their hospitals in Indonesia and Manila indicate that instituting immediate post delivery breastfeeding can also decrease post-partum maternal blood loss. This is not only good for maternal well being but can decrease the use of costly drugs used for this purpose. For example, at the Dr. Jose Fabella Hospital in Manila, where 80 to 100 deliveries occur daily, the cost of this drug (Methergine) which has been used routinely for all normal deliveries is approximately \$1.00 per dose.
4. In a preliminary review of 34 early responses to a survey sent to 180 Wellstart participants in February 1989, 80% (19) of the 24 hospitals represented in the response had established full rooming-in and two-thirds (16) had developed lactation clinics for service and teaching. These changes and developments will have a significant effect on the 7,313 medical, nursing and midwifery students who receive training each year in the perinatal services and the 633 post doctoral trainees (residents and house officers) who complete their perinatal specialty (obstetrics and pediatrics) training in these hospitals each year. Additionally, the 34 respondents reported that their teams had given 341 continuing education ("echo") courses reaching over 16,000 other health care providers and had initiated 37 research projects. (Appendix 5).

Teaching activities such as these (often called the built-in cascade or multiplier effect of the Lactation Management Education Program) lead to the ultimate impact of the Program. Neither the primary participants nor the institutions or agencies where they work are viewed as the end point of the Program's efforts. Rather they become effective, in-country resources of expertise to initiate the spread of scientifically sound information through both formal and informal health care systems. Sound information will have the ultimate impact which is improving the way care is given to mothers and infants such that lactation and breastfeeding are successfully initiated, duration is extended, and weaning is undertaken and completed in a nutritionally healthy manner with both mother and infant remaining healthy throughout the entire period of lactation and breastfeeding.

Changing the knowledge, attitudes and skills of those responsible for care and for teaching others, and of decision makers who establish policies and procedures, can have a rapid effect. For example, using information from the 182 participants who began participation between August 1983 and March 1989, using annual deliveries, number of graduating residents, and attendees at secondary conferences, it can be estimated that by 1993 (ten years after the Program began) well over 15 million mother-infant pairs will have improved care initially learned and taught by these 182 participants.

### **III. PROPOSAL FOR CONTINUATION OF LACTATION MANAGEMENT EDUCATION**

#### **A. Need for Continuation of Lactation Management Education.**

The accomplishments and examples of impact reviewed in the preceding section have resulted in the Lactation Management Education Program becoming widely recognized for making an effective contribution to USAID's Child Survival strategy. This success has generated world-wide requests for both participation in the LME Program and for technical assistance.

At present letters inquiring about participation are on file at Wellstart from 216 health care professionals in 56 countries. An additional 200 very interested professionals from AID focus countries have been identified from responses to the international needs assessment survey. Between now and the end of the grant period, September 30, 1989, only 15 additional participants will be able to enter the Program.

High priority for participation in LME are teams from French speaking African countries. It is essential that participants be identified for training and assisted in developing their capability to provide in-country training to meet the particular needs of mothers within the structure of their own systems.

Beyond requests for participation in the LME Program, USAID Regional Bureau and in-country Missions have requested technical assistance from Wellstart in AID's efforts to help governments develop national breastfeeding promotion projects. Response to these requests has already begun in Ecuador, Bolivia, Belize, Brazil, the Dominican Republic, Indonesia and the Philippines. Completion of these efforts will not be possible before the end of the current grant period.

While increasing the number of knowledgeable professionals ("resources of expertise") and assisting with the development of national breastfeeding promotion projects are vital contributions to continue making to the Child Survival Strategy, assuring institutionalization and sustainability of these efforts is essential. Two areas of activity begun during the current grant period are designed to strengthen sustainability: follow-up visits to provide continuing education and support (CES), and development of national or regional lactation centers to assume responsibility for further in-country teaching and research. Both efforts need to be continued.

Experience with the Program during the current grant has demonstrated that CES visits add to participant knowledge, and influence others in their hospitals and communities, all of which strengthen institutionalization of change they are effecting. Institutionalization is fundamental to sustainability. Follow-up visits are still needed by 23 teams which have already completed their San Diego course component. Wellstart participants also ranked continuing education among the top four future program priorities in their responses to the Participant Survey (Appendix 5).

The development of regional or national lactation Centers was also identified among the top four priorities in the participant survey. Such Centers would assume responsibility for creating and providing leadership for in-country programs to train primary and community level health care providers, as well as for educating more advanced perinatal care professionals. Program planning and evaluation, curriculum development and needed clinical research could be carried out with the expertise of Center staff. Collections of current literature relevant to breastfeeding and lactation management and infant nutrition could be housed and made available through a Center.

Early discussion regarding the idea of the possible development of Centers in Thailand, Indonesia, the Philippines and/or Kenya has generated enthusiastic responses from both governmental agencies and institutions where Centers might be located. Center development is obviously complex and will need careful planning and assistance for a period of time to assure success. An important step, which has already begun, is providing opportunities for Advanced Study Fellowships to program participants who have been selected by their institutions and/or governments as potential leaders of lactation centers or national programs of breastfeeding promotions. As noted previously, four individuals will have participated in the Fellowship program before the end of the current grant period. Center development will require expansion of Fellowship opportunities.

The need for research and evaluation of lactation management education efforts has also been recognized during the current grant. Limitation of staff (both in numbers and expertise) and time made development of activities in this area impossible to pursue. It is essential that this need be met during continuation of lactation management education activities.

The contribution which breastfeeding can make to other Child Survival modalities and maternal health projects (eg. oral rehydration, diarrheal disease control, passive immunization, infertility, lactational amenorrhea) has been increasingly recognized over the past few years. However, the organizations responsible for these projects are rarely able to prepare project staff members regarding the potential breastfeeding aspects of their work. As a consequence, breastfeeding may be ignored or inaccurately included. Wellstart could provide significant help in eliminating such project deficiencies by providing training of staff members and by actively collaborating on projects. A continuation of the LME Program should also include plans to respond to these needs.

## **B. The Plan**

The accomplishments, evidence of impact and identification of further need strongly indicate the importance of assuring the continuation of the Lactation Management Education Program's contribution to the Child Survival strategy beyond September 30, 1989. The following proposal, requesting five years of support, is designed to continue successful work, expand or add activities in areas of identified need and give particular attention to ensuring long-term sustainability of accomplishments.

### **1. Review of the Overall Mission of Wellstart**

While Wellstart focuses considerable organizational attention on lactation management and breastfeeding promotion, it does so because of a broad concern for family and community health promotion. Specifically, Wellstart is dedicated to assuring optimal maternal, infant and ultimately family and community health through promoting sound nutrition and health care practices during the prenatal, perinatal, maternal fourth

trimester and infancy periods of life. Because of the well documented contribution of breastfeeding to the health of both mother and infant during these periods, Wellstart pursues its overall mission by promoting breastfeeding with special focus on educating health professionals regarding scientifically based clinical management of lactation, breastfeeding and the process of weaning.

**2. Goals and Objectives of Wellstart's Lactation Management Education Program for Health Professionals from Developing Countries.**

When the Lactation Management Education Program was initiated in 1983, two goals and four objectives were selected to help guide the choice of tasks and activities. These have provided a useful general framework and are therefore restated as part of the background for this proposal for project continuation:

**Goals:**

- a) To assist the promotion and protection of breastfeeding in developing countries by improving the knowledge regarding the clinical management of lactation and breastfeeding of current and future perinatal health care providers.
- b) To insure the success of lactation management education (LME) participants in promoting and protecting breastfeeding by providing ongoing and appropriate support services.

**Objectives:**

- a) To train multidisciplinary teams of perinatal health care professionals from teaching hospitals as specialists in lactation management, prepared to offer scientifically sound care for the breastfeeding mother-infant couple.
- b) To assist these teams in developing a model service and teaching program appropriate to their own setting.
- c) To assist in designing in-service and continuing education activities regarding lactation and breastfeeding for health care colleagues of participating teams.
- d) To assist the teams in selecting and/or developing appropriate teaching materials for their program(s).

**3. Outcomes for the five year period of October 1, 1989 through September 30, 1994.**

To more effectively direct the Lactation Management Program efforts during the next five years, six areas of outcome have been identified. Activities and the specific sequencing of these activities will be carried out to maximize achievements in each of these seven areas. These outcomes are as follows:

- a) Increase the number of health care professionals from developing countries, and the number of countries, with lactation management expertise.

During the five year period a minimum of 200 participants (60 teams) will be recruited to enter the Program. Twenty courses (four per year) will be given to accommodate these participants.

At least one course will be developed to meet the needs of teams from French speaking African nations and at least two courses will be developed for Spanish speaking nations. At least two regional continuing education conferences will be provided for Program participants during the five year period.

- b) Develop sustainable, in-country capability for lactation management education, service and research.

Twelve to fifteen follow-up CES visits will be made, 4 or 5 to countries in each USAID region.

Three to five national or regional lactation Centers will be developed, at least one in each USAID region.

Leadership for national breastfeeding promotion activities and lactation Centers will be developed through the provision of 15 to 20 two-month advanced study fellowships, three to four each year.

- c) Assure extension of the influence of health professionals with lactation expertise to the community level.

The LME primary course will be strengthened regarding content and methods, to assist teams in providing competency based training for the primary and non-professional care givers throughout their countries.

Teams will be encouraged to organize at least two secondary courses each year specifically for trainers of primary and non-professional care givers.

- d) Assure timely access to current information and teaching materials.

Six reprints regarding lactation, human milk, breastfeeding and related topics will be selected and sent out to all participants on a monthly basis.

Electronic information communication methods will be identified and selected and service initiated at regional or national Centers.

Libraries devoted to establishing and maintaining major, specialized collections of material on lactation, breastfeeding and human milk will be developed at each regional Center.

- e) Develop a research and evaluation component for the Lactation Management Education Program.

An on-going system will be developed for evaluation of Lactation Management Education Programs at Wellstart, San Diego, Regional Centers and other locations.

Development and review of potential research projects by Program participants and/or Wellstart staff will be encouraged and technical assistance provided.

An information file will be created on potential collaborating researchers, agencies and sources of funding.

A vigorous effort will be made to bring about the undertaking, completion and preparation for presentation of a professional meeting of 6 to 10 research projects.

f) Strengthen and maximize the contribution of breastfeeding to the overall strategies for Safe Motherhood and Child Survival.

Agencies and/or individuals participating in Safe Motherhood or Child Survival Projects in which breastfeeding promotion is or should be a component will be identified.

At least one meeting of such agencies and/or individuals to explore potential joint projects will be coordinated by Wellstart.

At least one joint, integrated project incorporating all child survival strategies and, if possible, safe motherhood activities will be initiated.

Wellstart will be available to provide technical assistance, as well as presentations and short training courses on breastfeeding promotion issues of relevance to agencies and organizations with projects focused on other child survival modalities and safe motherhood initiatives.

4. **Overview of Proposed Lactation Management Education Activities for October 1, 1989 through September 30, 1994**

To maximize achievements in each of the identified areas of outcome, the Lactation Management Education Program will undertake a wide variety of activities. These will be grouped and discussed under the seven Program components previously described (Appendix 2).

a) **Component I - Recruitment/Selection**

Wellstart will continue to recruit motivated teams with appropriate clinical backgrounds identified by their institutions for training in lactation management. Emphasis will be placed on selection of participant teams from institutions that show a strong interest in implementation of new policies and procedures related to infant feeding that will improve chances of child survival. Priority will be given to requests for training of teams that will work within major national breastfeeding promotion and/or child survival programs.

Specific efforts to recruit appropriate teams will include revision and creation of brochures and other marketing materials for distribution to AID Missions and Bureaus, PVO's and governmental agencies as well as other appropriate institutions and organizations. Letters of interest already on file will be reviewed and appropriate action taken.

Experience gained during the current grant period indicates that programs are established most rapidly and have the most impressive results when participant teams have four characteristics:

- They work in the same institution or agency and can function as a true team;

- They are multidisciplinary, with members who can work together to train colleagues and students and promote hospital and community changes;
- At least some members of the team are from senior administrative positions; and
- The institution or agency is fully supportive of sending the team for training and of subsequent team efforts.

Recruitment for all future teams will be carried out with these characteristics in mind.

In the past, most teams have been teaching hospital-based, and have most often included an obstetrician, pediatrician, perinatal nurse, senior nurse midwife and, where available, a nutritionist as members. In the up-coming Program recruitment of such teams will continue, but in addition, teams from other settings will be sought. They may include, for example:

- Teams from institutions, agencies or child survival projects planning to focus on training primary health care workers in the area of infant feeding, and developing programs stressing breastfeeding promotion and improved weaning at the community level.
- Teams from departments, agencies or institutions with responsibility for revising and improving curricula and educational activities related to infant feeding and lactation management, both for professionals and paraprofessional health care providers.
- Teams from newly-organized Lactation Centers planning to develop country or regional training programs in lactation management as well as other breastfeeding support activities.

The Program will continue to recruit Spanish-speaking participants for one course per year. In addition, top priority will be assigned to identifying and enrolling teams from French-speaking African countries which can then begin to provide training in other French-speaking countries.

**b) Component II - Education/Motivation**

**1) Training Courses**

During the next five years Wellstart will continue to offer three four-week courses per year for English-speaking teams. Four teams of four health professionals (16 total) can be accommodated in each course. As noted previously at least one course will be developed as early as possible to meet the needs of French speaking Africa. One modified course will be offered annually in Spanish.

2) Course Content

Courses will continue to focus on the science of clinical management of lactation, breastfeeding problems, maternal and infant nutrition, fertility issues, promotional strategies and other related topics. Course activities involve classroom instruction, rounds, clinic sessions, nutrition counseling, observations and field trips. Sessions will continue to be guided by an expert interdisciplinary teaching team including the Wellstart staff and adjunct faculty.

Each course will be tailored to the specific needs of the participants and to assist them in meeting the particular challenges and needs of their maternal and infant populations. A nurse-midwife will be added to the staff to provide the participants with the expertise of that discipline, to enhance Wellstart's capability of addressing the needs of rural populations, and to assist with ways to improve practices of traditional birth attendants.

3) Curriculum development activities

Important areas of the curriculum that will be further developed include:

- Strategies for addressing the needs of working mothers who wish to continue breastfeeding;
- Strategies for identifying and reaching high-risk, hard-to-reach mothers such as the very poor, and the less educated;
- Strategies for conducting rapid needs assessments as part of the program planning process and using evaluation and applied research techniques as planning and problem-solving tools;
- Strategies for effective integration of breastfeeding promotion and lactation management into other child survival projects; and
- Strategies for training non-professional primary care providers.

4) Training for Primary Health Care Providers

Strengthening the skills and knowledge of primary health care providers in lactation management is a critical step in the process of developing effective and sustainable national breastfeeding programs. Ultimately the best model for training these providers is to develop in-country resource groups who can assume responsibility for teaching these important care givers. An important program activity during the next few years will be development of several country or regional Lactation Centers. One responsibility of these Centers will be to develop training programs for primary care providers. (Development of the Lactation Centers is described in detail under "Component VII - Expansion of Participant Activities and in Appendix 9).

5) Advanced Study Fellowship Program

Four Advanced Study Fellowships will be offered each year to graduates of the Wellstart courses who show promise as future directors of country or regional Lactation Centers. Each fellow will join the Wellstart staff for a period of two to three months. Activities will include:

- Serving as a member of the teaching staff for one of the international lactation management courses;
- Reviewing a technical subject of particular importance for the fellow's future program;
- Developing preliminary plans for the Lactation Center program; and
- Visiting other organizations that can be of assistance during the program development phase.

This Fellowship program will provide a critical opportunity for some of the planning necessary for the development of national programs or regional Lactation Centers. As future key staff members of the Lactation Centers are identified, those who have not received Wellstart training will be considered for participation in a course to assure a critical mass of skilled, knowledgeable staff.

6) Financial support for training activities

Wellstart has developed relationships with AID Regional Bureaus, AID Mission Health and Population Officers and with other agencies with child survival projects. During the grant period funds for a number of the participant teams have been provided by some of these Missions and other agencies (as detailed in Appendix 7). Wellstart will continue to build on and expand such outside funding opportunities to enhance program activities during the proposed five-year period.

c) Component III - Intervention Planning

1) Development of action plans

Intervention planning is a critical aspect of the training process. During the course, participant teams develop detailed action plans for organizing model teaching and service programs in their home institutions. The intervention plan developed by participants provides the blueprint for a team's strategy for assuring successful change in their institution. It is important that this plan be prepared in a fashion suitable for formal presentation to key individuals in the participant's institution and for sharing with in-country AID Mission staff.

2) Administrative staff participation in the planning process

Experience during past training sessions has indicated that intervention planning and implementation is much more successful when key

administrative level staff have participated along with clinical team members in at least a portion of the training. Thus, as mentioned earlier, the Program will continue to stress the importance of identifying and including such individuals in training arrangements as often as possible.

8) Program evaluation and applied research

All participant teams are encouraged to develop detailed plans for evaluating their proposed intervention programs. In addition, many teams find that short applied or operations research projects are useful as planning and problem-solving tools once their programs get underway. Wellstart plans to strengthen its capability to provide technical assistance to participant teams in the areas of program evaluation and applied research, both during the initial training period, and later during the program implementation process. A Research and Evaluation Specialist skilled in conducting research and evaluation and in assisting teams to establish their own programs will be added to the staff.

d) Component IV - Material Support

1) Provision of teaching materials

Each team will continue to be provided with a basic collection of teaching materials for use in their own programs, including:

- Session syllabus and course texts.
- A set of teaching slides and selected other audio-visual aids.
- Books and reprints.

2) In-country material support

Many teams also have an urgent need for material support after they return home from San Diego. Audiovisual equipment is scarce, supplies for preparing course handouts are limited, clerical support is sometimes hard to obtain and funds are rarely available to assist with important secondary teaching activities, the key to the Program's multiplier effect. Funds requested will provide some support for these activities and will help to insure the sustainability of positive Program outcomes.

8) Additional areas of support

Areas of material support which will receive special emphasis during the proposed Project period include:

- Further development of the course training package, with a system for keeping it current through effective use of word processing capabilities. Emphasis will be placed on preparation of a model core curriculum that participant teams can use to

train other health professionals on return home, as well as on development of a simplified core curriculum that can be adapted by teams for use in training non-physician health care providers.

- Continued development and identification of new audio-visual materials for use in educational activities, both within the four-week course and in the participant team's own training programs.
- The Wellstart library is systematically updated, and contains over 5,000 books, articles and other documents. Currently the holdings are being entered into a computerized reference management system to increase the accessibility and usefulness of the materials. A librarian will be recruited to enlarge and maintain the print and audio-visual resources. Methods of electronic communication will be sought and initiated to link Regional Lactation Centers to the library resources at the San Diego offices.
- A plan will also be developed for periodic updating of the lactation and infant feeding document collections in the libraries of the training teams' home institutions. The first priority will be to expand the holdings available in the newly formed Lactation Centers and in institutions with relatively large lactation training and promotional programs.
- The reprint service will be continued and improved. Currently course graduates receive six new reprints approximately once a month. If the cost of sending reprints and other information via fax becomes competitive, Wellstart will use this technology to facilitate distribution of reprints, the newsletter and other informational materials.

e) **Component V - Intervention Implementation**

1) **Support during the implementation process**

Wellstart will continue to assist teams in implementing their action plans through:

- Technical assistance.
- Networking.
- Leadership development.

Implementation by past participants has been most rapidly accomplished when key individuals in their home institutions were strongly supportive, in-country AID Mission staff were involved, and some additional funds could be provided to assist with costs of seminars and workshops. During the proposed Project, Wellstart staff will continue to work closely with key individuals and in-country AID officers to create the joint

approach needed for both effective recruitment and program implementation. Because institutionalization of program activities in the participants' institutions and countries is so important at this stage of the Program, this activity will be stressed.

f) **Component VI - Follow-up**

1) **General follow-up support**

One of the key reasons for Wellstart's success in promoting effective program development in-country has been its strong follow-up support program. All teams are provided with on-going technical support, continuing education and motivation through:

- Follow-up visits.
- A newaletter.
- Monthly reprints from current literature.

A minimum of one follow-up visit will be scheduled for each AID region during the first year of the proposed Project. Thus, at least three visits will be completed, with each trip covering several countries.

2) **Additional follow-up requests**

Requests for technical assistance, both from course graduates and others, may focus on a variety of needs, such as assistance with:

- Training program development
- Design and evaluation of breastfeeding promotion programs; and
- Development of research strategies to solve critical operational problems.

The composition of staff/consultant teams for follow-up visits will be adjusted according to the particular needs the Project must address. Whenever possible, former graduates or other developing country nationals will be used as consultants. As Regional Lactation Centers are developed they also can begin to play a key role in offering technical assistance. The goal, whenever possible, will be to develop local expertise as a result of the visits. A Wellstart Field Services Director, with expertise in issues of international health promotion, will take a major role in increasing Wellstart's follow-up capabilities.

3) **Continuing education activities**

A systematic continuing education strategy is essential if Program graduates are to maintain up-to-date knowledge and skills in lactation management. During the proposed Project at least two regional continuing education conferences will be held, most likely in Africa, and

Central and South America. In addition, the feasibility of collaborating with other organizations to undertake a major international meeting to review the state-of-the-art of breastfeeding promotion will be explored.

**g) Component VII - Expansion of Participant Activities**

**1) In-Country Program Expansion**

Expansion of in-country activities which will contribute to desired outcomes will be encouraged and given as much support as possible. Examples include:

- Training additional health professionals and paraprofessionals and improving curricula
- Modifying additional hospital policies and procedures
- Working jointly with poor rural and urban communities to identify infant nutrition problems and plan for their solution
- Developing promotional campaigns and services for mothers, infants and families including mother's support groups
- Conducting operational, evaluation and clinical research activities.

**2) Development of Regional Lactation Centers**

A major thrust during the up-coming Project period, as mentioned earlier, will be development of Lactation Centers which can provide training in lactation management both for professional and non-professional care givers, assist with breastfeeding promotion campaigns, and serve as referral centers for breastfeeding problems -- gradually assuming many of Wellstart's responsibilities for the regions and countries in which they are located. Such Centers will be an important component of assuring sustainability.

The Regional Lactation Center concept is intended to provide an intermediary-level resource base for a fairly large area and population. By adapting the Wellstart model and establishing Regional Lactation Centers (RLCs), teaching activities can be increased and designed to meet the infrastructure needs of a particular population or region and assure that the multiplier or cascade effect occurs. Such RLCs could improve access to necessary resources and minimize duplication of effort. A Regional Center would be specifically designed to:

Provide a permanent and expanding local resource of leadership and expertise in lactation management and related maternal and child health issues which contribute to a wellstart. Such expertise would be utilized as:

- an education and training resource for teaching other teachers
- a resource for consultation on a variety of projects such as breastfeeding promotion, research, and policy issues; and
- as a model of clinical services and research, both essential to any successful health professional education program.

Provide current, appropriate, accurate and complete information and materials by serving as a regional information clearinghouse (see Appendix 9 for a more detailed discussion of Regional Lactation Center activities).

**C. Proposed Workplan, October 1, 1989 - September 30, 1994**

The outcomes and component activities discussed in this plan will require significant commitment of resources, using the substantial proven expertise and experience which Wellstart has demonstrated during the current grant period. Following is a five-year work plan which will lead to achievement of these important goals towards child survival.

15







AGENCY FOR INTERNATIONAL DEVELOPMENT

WASHINGTON, D C 20523

ATTACHMENT 3

STANDARD PROVISIONS

OMB Control No. 0412-0510

Expiration Date: 12/31/89

MANDATORY STANDARD PROVISIONS FOR U.S., NONGOVERNMENTAL GRANTEEES 1/

INDEX OF MANDATORY STANDARD PROVISIONS

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1. ALLOWABLE COSTS (NOVEMBER 1985)

The grantee shall be reimbursed for costs incurred in carrying out the purposes of this grant which are determined by the grant officer to be reasonable, allocable, and allowable in accordance with the terms of this grant, any negotiated advance understanding on particular cost items, and the applicable\* cost principles in effect on the date of this grant.

\* NOTE: For Educational Institutions use OMB Circular A-21; for all other non-profits use OMB Circular A-122; and for profit making firms use FAR 31.2. and AIDAR 731.2.

2. ACCOUNTING, AUDIT, AND RECORDS (JANUARY 1988)

(a) The grantee shall maintain books, records, documents, and other evidence in accordance with the grantee's usual accounting procedures to sufficiently substantiate charges to the grant. The grantee's financial management system shall provide for the following:

(1) Accurate, current, and complete disclosure for each A.I.D.-sponsored project or program in accordance with the reporting requirements of this grant. While A.I.D. requires reporting on an accrual basis, the grantee shall not be required to establish an accrual accounting system but shall develop such accrual data for its reports on the basis of an analysis of the documentation on hand.

(2) Records that identify adequately the source and application of funds for A.I.D.-sponsored activities. These records shall contain information pertaining to Federal awards, authorizations, obligations, unobligated balances, assets, outlays, and income.

(3) Effective control over and accountability for all funds, property, and other assets. Grantee shall adequately safeguard all such assets and shall ensure that they are used solely for authorized purposes.

(4) Comparison of actual outlays with budget amounts for each grant. Financial information should be related to performance and unit-cost data whenever appropriate.

(5) Procedures to minimize the time elapsing between the transfer of funds from the U.S. Treasury and the disbursement by the recipient, whenever funds are advanced by the Federal Government.

1/ When these Standard Provisions are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "A.I.D. Grant Officer" means "A.I.D. Agreement Officer."

*AGP*

(6) Procedures for determining the reasonableness, allowability, and allocability of costs in accordance with the provisions of the applicable Federal cost principles and the terms of the grant.

(7) Accounting records that are supported by documentation that at a minimum will identify, segregate, accumulate, and record all costs incurred under a grant and which fully disclose (i) the amount and disposition by the grantee of the proceeds of such assistance, (ii) the total cost of the project or undertaking in connection with which such assistance is given or used, (iii) the amount of that portion of the cost of the project or undertaking supplied by other sources, and (iv) such other records as will facilitate an effective audit.

(8) Examinations in the form of audits or internal audits shall be made by qualified individuals that are sufficiently independent of those that authorize the expenditure of A.I.D. funds to produce unbiased opinions, conclusions, or judgments. They shall meet independence criteria along the lines of Chapter IV, Part B of the U.S. General Accounting Office Publication Standards for Audit of Governmental Organizations, Programs, Activities, and Functions (1981 Revision). These examinations are intended to ascertain the effectiveness of the financial management systems and internal procedures that have been established to meet the terms and conditions of the grant. It is not intended that each grant awarded to the grantee be examined. Generally, examinations should be conducted on an organization-wide basis to determine whether the institution has implemented and utilizes appropriate financial and administrative systems and controls in accordance with the uniform administrative requirements of OMB Circular A-110 and the applicable cost principles specified in the "Allowable Costs" standard provision of this grant, and to test the fiscal integrity of financial transactions, including accuracy and reliability of financial reports submitted to A.I.D. and other Federal agencies under agreements to which the terms of Attachment G of OMB Circular A-110 apply, as well as compliance with the terms and conditions of the A.I.D. grant. Such tests would include an appropriate sampling of A.I.D. and other Federal grants and agreements. Examinations will be conducted with reasonable frequency, on a continuing basis or at scheduled intervals, usually annually, but not less frequently than every two years. A copy of the audit report shall be furnished to the A.I.D. grant officer who shall make appropriate distribution within the Agency. The frequency of these examinations shall depend upon the nature, size, and the complexity of the activity. These grantee self-examinations do not relieve A.I.D. of its audit responsibilities, but may affect the frequency and scope of such audits.

(9) A systematic method to ensure timely and appropriate resolution of audit findings and recommendations.

(b) The grantee shall preserve and make available such records for examination and audit by A.I.D. and the Comptroller General of the United States, or their authorized representatives:

(1) until the expiration of three years from the date of termination of the grant;

(2) for such longer period, if any, as is required to complete an audit to resolve all questions concerning expenditures unless written approval has been obtained from the grant officer to dispose of the records. A.I.D. follows generally accepted accounting practices in determining that there has been proper accounting and use of grant funds. The grantee agrees to make available any further information requested by A.I.D. with respect to any questions arising as a result of the audit; and

(3) If any litigation, claim, or audit is started before the expiration of the three year period, the records shall be retained until all litigations, claims or audit findings involving the records have been resolved.

(c) The grantee shall require subrecipients to adopt the standards in paragraphs (a) and (b) above except that portion of subparagraph (a) 1 that would require specific financial reporting forms and frequencies in accordance with the payment provisions of the grant.

3. REFUNDS (JANUARY 1988)

(a) The grantee shall remit to A.I.D. all interest earned on funds provided by A.I.D. at least quarterly, except that interest amounts up to \$100 per year may be retained by the grantee for administrative expense.

(b) Funds obligated by A.I.D. but not disbursed to the grantee at the time the grant expires or is terminated shall revert to A.I.D., except for such funds encumbered by the grantee by a legally binding transaction applicable to this grant. Any funds advanced to but not expended by the grantee and not encumbered by a legally binding transaction applicable to this grant at the time of expiration or termination of the grant shall be refunded to A.I.D.

(c) If, at any time during the life of the grant, or as a result of final audit, it is determined by A.I.D. that funds it provided under this grant have been expended for purposes not in accordance with the terms of this grant, the grantee shall refund such amount to A.I.D.

4. REVISION OF GRANT BUDGET (NOVEMBER 1985)

(a) The approved grant budget is the financial expression of the grantee's program as approved during the grant award process.

(b) The grantee shall immediately request approval from the grant officer when there is reason to believe that within the next 30 calendar days a revision of the approved grant budget will be necessary for the following reasons:

(1) Changes in the scope or the objectives of the program and/or revisions in the funding allocated among program objectives.

(2) The need for additional funding.

(3) The grantee expects the amount of A.I.D. authorized funds to exceed its needs by more than \$5,000 or five percent of the A.I.D. award, whichever is greater.

(4) The grantee plans to transfer funds budgeted for indirect costs to absorb increases in direct costs or vice versa.

(5) The grantee intends to contract or subgrant any of the substantive programmatic work under this grant, and such contracts or subgrants were not included in the approved grant budget.

(6) The grantee plans to incur an expenditure which would require advance approval in accordance with the applicable Federal cost principles and was not included in the approved grant budget.

(7) The grantee plans to transfer funds allotted for training allowances to other categories of expense.

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(c) When requesting approval for budget revisions, the grantee shall use the budget formats that were used in the application unless a letter request will suffice.

(d) Within 30 calendar days from the date of the receipt of the request for budget revisions, the grant officer shall review the request and notify the grantee whether the budget revisions have been approved. If the revisions are still under consideration at the end of 30 calendar days, the grant officer shall inform the grantee in writing of the date when the grantee may expect the decision. The grant officer shall obtain the project officer's clearance on all such requests prior to communication with the grantee.

(e) If the requested budget revision requires the obligation of additional funding, and, if after notification pursuant to this standard provision, AID determines not to provide additional funds, the AID grant officer will, upon written request of the grantee, terminate this grant pursuant to the standard provision of this grant, entitled "Termination and Suspension."

(f) Except as required by other provisions of this grant specifically stated to be an exception from this provision, the Government shall not be obligated to reimburse the grantee for costs incurred in excess of the total amount obligated under the grant. The grantee shall not be obligated to continue performance under the grant (including actions under the "Termination and Suspension" provision) or otherwise to incur costs in excess of the amount obligated under the grant, unless and until the grant officer has notified the grantee in writing that such obligated amount has been increased and has specified in such notice the new obligated grant total amount.

#### 5. TERMINATION AND SUSPENSION (MAY 1986)

(a) For Cause. This grant may be terminated for cause at any time, in whole or in part, by the grant officer upon written notice to the grantee, whenever it is determined that the grantee has failed to comply with the conditions of the grant.

(b) For Convenience. This grant may be terminated for convenience at any time by either party, in whole or in part, if both parties agree that the continuation of the grant would not produce beneficial results commensurate with the further expenditure of funds. Both parties shall agree upon termination conditions, including the effective date and, in the case of partial terminations, the portion to be terminated. The agreement to terminate shall be set forth in a letter from the grant officer to the grantee.

(c) Suspension: Termination for Changed Circumstances. If at any time AID determines that continuation of funding for a program should be suspended or terminated because such assistance is not in the national interest of the United States or that it would be in violation of an applicable law, then AID may, following notice to the grantee, suspend this grant and prohibit the grantee from incurring additional obligations chargeable to this grant other than necessary and proper costs in accordance with the terms of this grant during the period of suspension. If the situation causing the suspension continues for 60 days or more, then AID may terminate this grant on written notice to the grantee and cancel that portion of this grant which has not been disbursed or irrevocably committed to third parties.

(d) Termination Procedures. Upon receipt of and in accordance with a termination notice as specified in either paragraph (a) or (b) above, the grantee shall take immediate action to minimize all expenditures and obligations financed by this grant and shall cancel such unliquidated obligations whenever possible. Except as provided below, no further reimbursement shall be made after the effective date of termination. The grantee shall within 30 calendar days after the effective date of such termination repay to the Government all unexpended AID funds which are not otherwise obligated by a legally binding transaction applicable to this grant. Should the funds paid by the Government to the grantee prior to the effective date of the termination of this grant be insufficient to cover the grantee's obligations in the legally binding transaction, the grantee may submit to the Government within 90 calendar days after the effective date of such termination a written claim covering such obligations. The grant officer shall determine the amount(s) to be paid by the Government to the grantee under such claim in accordance with the applicable cost principles.

6. DISPUTES (MARCH 1987)

(a) Any dispute under this grant shall be decided by the AID grant officer. The grant officer shall furnish the grantee a written copy of the decision.

(b) Decisions of the AID grant officer shall be final unless, within 30 days of receipt of the decision of the grant officer, the grantee appeals the decision to AID's Associate Assistant to the Administrator for Management. Any appeal made under this provision shall be in writing and addressed to the Associate Assistant to the Administrator for Management, Agency for International Development, Washington, D.C. 20523. A copy of the appeal shall be concurrently furnished to the grant officer.

(c) In order to facilitate review on the record by the Associate Assistant to the Administrator for Management, the grantee shall be given an opportunity to submit written evidence in support of its appeal. No hearing will be provided.

(d) A decision under this provision by the Associate Assistant to the Administrator for Management shall be final.

7. INELIGIBLE COUNTRIES (MAY 1986)

Unless otherwise approved by the AID grant officer, funds will only be expended for assistance to countries eligible for assistance under the Foreign Assistance Act of 1961, as amended, or under acts appropriating funds for foreign assistance.

8. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (MARCH 1989)

(a) The grantee certifies to the best of its knowledge and belief, that it and its principals:

(1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(2) Have not within a three-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (a)(2) of this certification; and

(4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

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(b) The grantee agrees that, unless otherwise authorized by the Grant Officer, it will not knowingly enter into any subagreements or contracts under this grant with a person or entity that is included on the "Lists of Parties Excluded from Federal Procurement or Nonprocurement Programs." The grantee further agrees to include the following provision in any subagreements or contracts entered into under this grant:

DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (MARCH 1989)

The recipient/contractor certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(c) The policies and procedures applicable to debarment, suspension, and ineligibility under AID-financed transactions are set forth in 22 CFR Part 208.

9. NONDISCRIMINATION (MAY 1986)

(This provision is applicable when work under the grant is performed in the U.S. or when employees are recruited in the U.S.)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by this grant on the basis of race, color, national origin, age, handicap, or sex.

10. U.S. OFFICIALS NOT TO BENEFIT (NOVEMBER 1985)

No member of or delegate to the U.S. Congress or resident U.S. Commissioner shall be admitted to any share or part of this grant or to any benefit that may arise therefrom; but this provision shall not be construed to extend to this grant if made with a corporation for its general benefit.

11. NONLIABILITY (NOVEMBER 1985)

AID does not assume liability for any third party claims for damages arising out of this grant.

12. AMENDMENT (NOVEMBER 1985)

The grant may be amended by formal modifications to the basic grant document or by means of an exchange of letters between the grant officer and an appropriate official of the grantee.

13. NOTICES (NOVEMBER 1985)

Any notice given by AID or the grantee shall be sufficient only if in writing and delivered in person, mailed, or cabled as follows:

To the AID grant officer, at the address specified in the grant.

To grantee, at grantee's address shown in the grant; or to such other address designated within the grant.

Notices shall be effective when delivered in accordance with this provision, or on the effective date of the notice, whichever is later.

(END OF MANDATORY STANDARD PROVISIONS)

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ADDITIONAL STANDARD PROVISIONS FOR U.S., NONGOVERNMENTAL GRANTEES 2/

INDEX OF ADDITIONAL STANDARD PROVISIONS

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1. PAYMENT - LETTER OF CREDIT (NOVEMBER 1985)

OMB Approval No. 0412-0510

Expiration Date: 12/31/89

(This provision is applicable only when the following conditions are met: (i) the total advances under all the grantee's cost-reimbursement contracts and assistance instruments with AID exceed \$120,000 per annum, (ii) AID has, or expects to have, a continuing relationship with the grantee for at least one year; (iii) the grantee has the ability to maintain procedures that will minimize the time elapsing between the transfer of funds and the disbursement thereof; (iv) the grantee's financial management system meets the standards for fund control and accountability required under the standard provision of this grant, entitled "Accounting, Audit, and Records" and, either (v) the foreign currency portion of the total advance under this grant is less than 50% or (vi) the foreign currency portion of the total advance under this grant is more than 50% but more than one foreign currency country is involved.)

(a) Payment under this grant shall be by means of a Letter of Credit (LOC) in accordance with the terms and conditions of the LOC and any instructions issued by AID's Office of Financial Management, Program Accounting and Finance Division (M/FM/PAFD).

(b) As long as the LOC is in effect, the terms and conditions of the LOC and any instructions issued by M/FM/PAFD constitute payment conditions of this grant, superseding and taking precedence over any other provision of this grant concerning payment.

2/ Applicability of these additional standard provisions is set forth in the Schedule (Attachment 1) of this grant or cooperative agreement.

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(c) Reporting:

(1) A "Financial Status Report" SF-269, shall be prepared on an accrual basis and submitted quarterly no later than 30 days after the end of the period, in an original and two copies to AID/M/FM/PAFD, Washington, D.C. 20523. If the grantee's accounting records are not normally kept on the accrual basis, the grantee shall not be required to convert its accounting system, but shall develop such accrual information through best estimates based on an analysis of the documentation on hand. The final report must be submitted within 90 days after the conclusion of the grant to M/FM/PAFD. In cases where grants are Mission funded, the Grantee will forward an information copy to the AID Mission accounting station at the same time the original and one copy are mailed to M/FM/PAFD, AID/Washington.

(2) The grantee shall submit an original and one copy of SF-272, "Federal Cash Transactions Report," within 15 working days following the end of each quarter to M/FM/PAFD. Grantees receiving advances totaling more than \$1 million per year shall submit the SF-272 on a monthly basis within 15 working days following the close of the month. Grantees shall report all cash advances in the remarks section of SF-272. Those cash advances in excess of immediate disbursement requirements in the hands of subrecipients or the grantee's field organizations shall be supported by short narrative explanations of actions taken by the grantee to reduce the excess balances.

(d) Revocation of the LOC is at the discretion of the authorized LOC certifying officer of M/FM/PAFD after consultation with the grant officer. Notification of revocation must be in writing and must specify the reason for revocation. M/FM/PAFD shall provide the grant officer a copy of the revocation notice and a recommendation for an alternative method of payment (periodic advance or cost reimbursement) based upon the reasons for the revocation. The grant officer shall immediately amend this agreement to provide for an appropriate alternative method of payment. The recipient may appeal any such revocation to the grant officer.

2. PAYMENT - PERIODIC ADVANCE (JANUARY 1988)

OHB Approval No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable when the conditions for use of letter of credit cannot be met (including those pertaining to mixed dollar and local currency advances) and when the grantee meets the requirements of paragraph 1.0.6 of Handbook 13.)

(a) Periodic advances shall be limited to the minimum amounts needed to meet current disbursement needs and shall be scheduled so that the funds are available to the grantee as close as is administratively feasible to the actual disbursements by the grantee for program costs. Cash advances made by the grantee to secondary recipient organizations or the grantee's field organizations shall conform substantially to the same standards of timing and amount as apply to cash advances by A.I.D. to the grantee.

(b) Grantees shall maintain advances in interest bearing accounts. Advances of A.I.D. funds to subgrantees shall be maintained in interest bearing accounts.

(c) Grantees shall submit requests for advances at least monthly on SF-270, "Request for Advance or Reimbursement," in an original and two copies, to the address specified in the Schedule of this grant.

(d) The grantee shall submit one copy of SF-272, "Federal Cash Transactions Report," 15 working days following the end of each quarter to the payment office address specified in the schedule. Grantees receiving advances totaling more than \$1 million per year shall submit SF-272 on a monthly basis within 15 working days following the close of the month. Grantees shall report in the Remarks section of SF-272 the amount of cash advances in excess of thirty days requirement in the hands of subrecipients or the grantee's overseas field organizations and shall provide short narrative explanations of actions taken by the grantee to reduce the excess balances.

(e) A "Financial Status Report," SF-269, shall be prepared on an accrual basis by the grantee and submitted quarterly no later than 30 days after the end of the period in an original and two copies to the payment office specified in the schedule. If the grantee's accounting records are not normally kept on the accrual basis, the grantee shall not be required to convert its accounting system, but shall develop such accrual information through best estimates based on an analysis of the documentation on hand. The final SF-269 must be submitted to the payment office within 90 days after the conclusion of the grant.

(f) If at any time, the A.I.D. Controller determines that the grantee has demonstrated an unwillingness or inability to: (1) establish procedures that will minimize the time elapsing between cash advances and the disbursement thereof, (2) timely report cash disbursements and balances as required by the terms of the grant, and (3) impose the same standards of timing of advances and reporting on any subrecipient or any of the grantee's overseas field organizations; the A.I.D. Controller shall advise the grant officer who may suspend or revoke the advance payment procedure.

3. PAYMENT - COST REIMBURSEMENT (NOVEMBER 1985)

OMB Approval No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable to grants for construction, or to grants where the grantee does not meet the conditions for either a letter of credit or periodic advance payment.)

(a) At the end of each month of this grant, the grantee shall submit an original and two copies of SF-270, "Request for Advance or Reimbursement," to the payment office address specified in the schedule of this grant.

(b) A final SF-270, shall be submitted within 60 days after the conclusion of the grant to the payment office.

(c) The reports will be prepared on a cash basis. However, if the grantee's accounting records are not normally kept on a cash basis, the grantee shall not be required to convert its accounting system to meet this requirement.

(d) Assignment of Claims (otherwise known as assignment of proceeds) is authorized under this grant and will be processed by the payment office.

4. AIR TRAVEL AND TRANSPORTATION (NOVEMBER 1985)

OMB Approval No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable when any costs for air travel or transportation are included in the budget.)

(a) The grantee is required to present to the project officer for written approval an itinerary for each planned international trip financed by this grant, which shows the name of the traveler, purpose of the trip, origin/destination (and intervening stops), and dates of travel, as far in advance of the proposed travel as possible, but in no event at least three weeks before travel is planned to commence. At least one week prior to commencement of approved international travel, the grantee shall notify the cognizant U.S. Mission or Embassy, with a copy to the project officer, of planned travel, identifying the travelers and the dates and times of arrival.

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(b) Travel to certain countries shall, at AID's option, be funded from U.S.-owned local currency. When AID intends to exercise this option, AID will, after receipt of advice of intent to travel required above, either issue a U.S. Government S.F. 1169, Transportation Request (GTR) which the grantee may exchange for tickets, or AID will issue the tickets directly. Use of such U.S.-owned currencies will constitute a dollar charge to this grant.

(c) All air travel and shipments under this grant are required to be made on U.S. flag air carriers to the extent service by such carriers is available. A U.S. flag air carrier is defined as an air carrier which has a certificate of public convenience and necessity issued by the U.S. Civil Aeronautics Board authorizing operations between the United States and/or its territories and one or more foreign countries.

(d) Use of foreign air carrier service may be deemed necessary if a U.S. flag air carrier otherwise available cannot provide the foreign air transportation needed, or if use of such service will not accomplish the agency's mission. Travel and transportation on non-free world air carriers are not reimbursable under this grant.

(e) U.S. flag air carrier service is considered available even though:

(1) Comparable or a different kind of service can be provided at less cost by a foreign air carrier;

(2) Foreign air carrier service is preferred by or is more convenient for the agency or traveler; or

(3) Service by a foreign air carrier can be paid for in excess foreign currency, unless U.S. flag air carriers decline to accept excess or near excess foreign currencies for transportation payable only out of such monies.

(f) Except as provided in paragraph (b) of this section, U.S. flag air carrier service must be used for all Government-financed commercial foreign air travel if service provided by such carriers is available. In determining availability of a U.S. flag air carrier, the following scheduling principles should be followed unless their application results in the last or first leg of travel to or from the United States being performed by foreign air carrier:

(1) U.S. flag air carrier service available at point of origin should be used to destination or in the absence of direct or through service to the farthest interchange point on a usually traveled route;

(2) Where an origin or interchange point is not served by U.S. flag air carrier, foreign air carrier service should be used only to the nearest interchange point on a usually traveled route to connect with U.S. flag air carrier service; or

(3) Where a U.S. flag air carrier involuntarily reroutes the traveler via a foreign air carrier the foreign air carrier may be used notwithstanding the availability of alternative U.S. flag air carrier service.

(g) For travel between a gateway airport in the United States (the last U.S. airport from which the traveler's flight departs or the first U.S. airport at which the traveler's flight arrives) and a gateway airport abroad (that airport from which the traveler last embarks enroute to the U.S. or at which the traveler first debarks incident to travel from the U.S.), passenger service by U.S. flag air carrier will not be considered available:

(1) Where the gateway airport abroad is the traveler's origin or destination airport, and the use of U.S. flag air carrier service would extend the time in a travel status, including delay at origin and accelerated arrival at destination, by at least 24 hours more than travel by foreign air carrier:

(2) Where the gateway airport abroad is an interchange point, and the use of U.S. flag air carrier service would require the traveler to wait six hours or more to make connections at that point, or delayed departure from or accelerated arrival at the gateway airport in the U.S. would extend the time in a travel status by at least six hours more than travel by foreign air carrier.

(h) For travel between two points outside the U.S. the rules in paragraphs (d) through (f) of this section will be applicable, but passenger service by U.S. flag air carrier will not be considered to be reasonably available:

(1) If travel by foreign air carrier would eliminate two or more aircraft changes enroute;

(2) Where one of the two points abroad is the gateway airport (as defined in paragraph (g) of this section) enroute to or from the United States, if the use of a U.S. flag air carrier would extend the time in a travel status by at least six hours more than travel by foreign air carrier including accelerated arrival at the overseas destination or delayed departure from the overseas origin as well as delay at the gateway airport or other interchange point abroad; or

(3) Where the travel is not part of a trip to or from the United States, if the use of a U.S. flag air carrier would extend the time in a travel status by at least six hours more than travel by foreign air carrier including delay at origin, delay enroute and accelerated arrival at destination.

(i) When travel under either paragraph (g) or (h) of this section involves three hours or less between origin and destination by a foreign air carrier, U.S. flag air carrier service will not be considered available when it involves twice such travel time or more.

(j) Nothing in the above guidelines shall preclude and no penalty shall attend the use of a foreign air carrier which provides transportation under an air transport agreement between the United States and a foreign government, the terms of which are consistent with the international aviation policy goals set forth at 49 U.S.C. 1502(b) and provide reciprocal rights and benefits.

(k) Where U.S. Government funds are used to reimburse the grantee's use of other than U.S. flag air carriers for international transportation, the grantee will include a certification on vouchers involving such transportation which is essentially as follows:

"CERTIFICATION OF UNAVAILABILITY OF U.S. FLAG AIR CARRIERS. I hereby certify that the transportation service for personnel (and their personal effects) or property by certificated air carrier was unavailable for the following reason(s)." (State appropriate reason(s) as set forth above).

(l) International Travel

(1) As used herein, the term "international travel" means travel to all countries other than those within the home country of the traveler. Travel outside the United States includes travel to the U.S. Trust Territories of the Pacific Islands.

(2) The grantee will be reimbursed for travel and the reasonable cost of subsistence, post differentials and other allowances paid to employees in an international travel status in accordance with the grantee's established policies and practices which are uniformly applied to federally financed and other activities of the grantee. The standard for determining the reasonableness of reimbursement for overseas allowance is the Standardized Regulations (Government Civilians, Foreign Areas), published by the U.S. Department of State, as from time to time amended. The most current subsistence, post differentials, and other allowances may be obtained from the grant officer.

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(n) This provision will be included in all subgrants and contracts which require air travel and transportation under this grant.

5. OCEAN SHIPMENT OF GOODS (MAY 1986)

OMB Approval No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable when goods purchased with funds provided under this grant are transported to cooperating countries on ocean vessels.)

(a) At least 50% of the gross tonnage of all goods purchased under this grant and transported to the cooperating countries shall be made on privately owned U.S. flag commercial ocean vessels, to the extent such vessels are available at fair and reasonable rates for such vessels.

(b) At least 50% of the gross freight revenue generated by shipments of goods purchased under this grant and transported to the cooperating countries on dry cargo liners shall be paid to or for the benefit of privately owned U.S. flag commercial ocean vessels to the extent such vessels are available at fair and reasonable rates for such vessels.

(c) When U.S. flag vessels are not available, or their use would result in a significant delay, the grantee may request a determination of non-availability from the AID Transportation Division, Office of Procurement, Washington, D.C. 20523, giving the basis for the request which will relieve the grantee of the requirement to use U.S. flag vessels for the amount of tonnage included in the determination. Shipments made on non-free world ocean vessels are not reimbursable under this grant.

(d) Vouchers submitted for reimbursement which include ocean shipment costs shall contain a certification essentially as follows:

"I hereby certify that a copy of each ocean bill of lading concerned has been submitted to the U.S. Department of Transportation, Maritime Administration, Division of National Cargo, 400 7th Street, S.W., Washington, D.C. 20590, and that such bills of lading state all of the carrier's charges including the basis for calculation such as weight or cubic measurement."

(e) Shipments by voluntary nonprofit relief agencies (i.e., PVOs) shall be governed by this standard provision and by AID Regulation 2, "Overseas Shipments of Supplies by Voluntary Nonprofit Relief Agencies" (22 CFR Part 202).

6. PROCUREMENT OF GOODS AND SERVICES (NOVEMBER 1985)

OMB Approval No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable when goods or services are procured under the grant.)

The grantee may use its own procurement policies and practices for the procurement of goods and services under this grant, provided they conform to all of AID's requirements listed below and the standard provision entitled "AID Eligibility Rules for Goods and Services."

(a) General Requirements:

(1) The recipient shall maintain a code or standards of conduct that shall govern the performance of its officers, employees or agents engaged in the awarding and administration of contracts using AID funds. No employee, officer or agent shall participate in the selection, award or administration of a contract in which AID funds are used, where, to that individual's knowledge, the individual or the individual's immediate family, partners, or organization in which the individual or the individual's immediate family or partners has a financial interest or with whom that individual is negotiating or has any arrangement concerning prospective employment. The recipients' officers, employees or agents shall neither solicit nor accept gratuities, favors or anything of monetary value from contractors or potential contractors. Such standards shall provide for disciplinary actions to be applied for violations of such standards by the recipients' officers, employees or agents.

(2) All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. The recipient should be alert to organizational conflicts of interest or noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, invitations for bids and/or requests for proposals should be excluded from competing for such procurements. Awards shall be made to the bidder/offeror whose bid/offer is responsive/responsible to the solicitation and is most advantageous to the recipient, price and other factors considered. Solicitations shall clearly set forth all requirements that the bidder/offeror must fulfill in order to be evaluated by the recipient. Any and all bids/offers may be rejected when it is in the recipient's interest to do so.

(3) All grantees shall establish procurement procedures that provide for, at a minimum, the following procedural requirements:

(i) Proposed procurement actions shall follow a procedure to assure the avoidance of purchasing unnecessary or duplicative items. Where appropriate, an analysis shall be made of lease and purchase alternatives to determine which would be the most economical practical procurement.

(ii) Solicitations for goods and services shall be based upon a clear and accurate description of the technical requirements for the material, product or service to be procured. Such a description shall not, in competitive procurements, contain features which unduly restrict competition. "Brand-name or equal" descriptions may be used as a means to define the performance of other salient requirements of a procurement and when so used the specific features of the named brand which must be met by bidders/offerors shall be clearly specified.

(iii) Positive efforts shall be made by the recipients to utilize small business and minority-owned business sources of supplies and services. Such efforts should allow these sources the maximum feasible opportunity to compete for contracts utilizing AID funds. To permit AID, in accordance with the small business provisions of the Foreign Assistance Act of 1961, as amended, to give United States small business firms an opportunity to participate in supplying commodities and services procured under this grant, the grantee shall to the maximum extent possible

Cell 1

provide the following information to the Office of Small Disadvantaged Business Utilization, AID, Washington, D.C. 20523, at least 45 days prior (except where a shorter time is requested of and granted by the Office of Small and Disadvantaged Business Utilization) to placing any order or contract in excess of \$25,000:

- (A) Brief general description and quantity of goods or services;
- (B) Closing date for receiving quotations, proposals, or bids; and
- (C) Address where solicitations or specifications can be obtained.

(iv) The type of procuring instruments used, e.g. fixed price contracts, cost reimbursable contracts, purchase orders, incentive contracts, shall be determined by the recipient but must be appropriate for the particular procurement and for promoting the best interest of the program involved. The "cost-plus-a-percentage-of-cost" method of contracting shall not be used.

(v) Contracts shall be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of a proposed procurement. Consideration shall be given to such matters as contractor integrity, record of past performance, financial and technical resources or accessibility to other necessary resources.

(vi) All proposed sole source contracts or where only one bid or proposal is received in which the aggregate expenditure is expected to exceed \$5,000 shall be subject to prior approval by an appropriate official within the grantee's organization.

(vii) Some form of price or cost analysis should be made in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, market prices and similar indicia, together with discounts. Cost analysis is the review and evaluation of each element of cost to determine reasonableness, allocability and allowability.

(viii) Procurement records and files for purchases in excess of \$10,000 shall include the following:

- (A) Basis for contractor selection;
- (B) Justification for lack of competition when competitive bids or offers are not obtained;
- (C) Basis for award cost or price.

(ix) A system for contract administration shall be maintained to ensure contractor conformance with terms, conditions and specifications of the contract, and to ensure adequate and timely followup of all purchases.

(b) Each contract shall contain, in addition to provisions to define a sound and complete contract, the following contract provisions, if applicable, as well as any provision within this grant which requires such inclusion of that provision. Whenever a provision is required to be inserted in a contract under this grant, the grantee shall insert a statement in the contract that in all instances where the U.S. Government or AID is mentioned the grantee's name shall be substituted.

(1) Contracts in excess of \$10,000 shall contain contractual provisions or conditions that will allow for administrative, contractual or legal remedies in instances in which contractors violate or breach contract terms, and provide for such remedial actions as may be appropriate.

(2) All contracts in excess of \$10,000 shall contain suitable provisions for termination by the recipient including the manner by which termination will be effected and the basis for settlement. In addition, such contracts shall describe conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

(3) In all contracts for construction or facility improvement awarded for more than \$100,000, recipients shall observe generally accepted bonding requirements.

(4) All contracts awarded by the grantee or subgrantee to be performed in the United States having a value of more than \$10,000, shall contain a provision requiring compliance with Executive Order 11246, entitled "Equal Employment Opportunity," as amended, and as supplemented in Department of Labor Regulations (41 CFR, Part 60).

(5) All contracts and subgrants in excess of \$2,000 for construction or repair to be performed in the United States awarded by the grantee or subgrantee shall include a provision for compliance with the Copeland "Anti-Kick Back" Act (18 U.S.C. 874) as supplemented in Department of Labor Regulations (29 CFR, Part 3). This Act provides that each contractor or subgrantee shall be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public works to give up any part of the compensation to which that individual is otherwise entitled. The grantee shall report all suspected or reported violations to AID.

(6) When required by the Federal program legislation, all construction contracts to be performed in the United States awarded by the grantee or subgrantee of more than \$2,000 shall include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 276a to a-7) as supplemented by Department of Labor Regulations (29 CFR, Part 5). Under this Act, contractors shall be required to pay wages to laborers and mechanics at a rate not less than the minimum wages specified in a wage determination made by the Secretary of Labor. In addition, contractors shall be required to pay wages not less than once a week. The grantee shall place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation and the award of a contract shall be conditioned upon the acceptance of the wage determination. The grantee shall report all suspected or reported violations to AID.

(7) Where applicable, all contracts awarded by the grantee or subgrantees in excess of \$2,000 for construction contracts to be performed in the United States and its territories and in excess of \$2,500 for other contracts that involve the employment of mechanics or laborers, shall include a provision for compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor Regulations (29 CFR, Part 5). Under section 103 of the Act, each contractor shall be required to compute the wages of every mechanic and laborer on the basis of a standard work day of 8 hours and a standard workweek of 40 hours. Work in excess of the standard workday or workweek is permissible provided that the worker is compensated at a rate of not less than 1 1/2 times the basic rate of pay for all hours worked in excess of 8 hours in any calendar day or 40 hours in the workweek. Section 107 of the Act is applicable to construction work and provides that no laborer or mechanic

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shall be required to work in surroundings or under working conditions that are unsanitary, hazardous, or dangerous to the worker's health and safety as determined under construction safety and health standards promulgated by the Secretary of Labor. These requirements do not apply to the purchases of supplies of materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

(8) Contracts, the principal purpose of which is to create, develop or improve products, processes or methods; or for exploration into fields that directly concern public health, safety or welfare; or contracts in the fields of science or technology in which there has been little significant experience outside of work funded by Federal assistance, shall contain a notice to the effect that matters regarding rights to inventions and materials generated under the contract are subject to the regulations included in these grant provisions. The contractor shall be advised as to the source of additional information regarding these matters.

(9) All negotiated contracts over \$10,000 awarded by the grantee shall include a provision to the effect that the grantee, AID, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers and records of the contractor which are directly pertinent to the specific program for the purpose of making audits, examinations, excerpts and transcriptions.

(10) Contracts in excess of \$100,000 to be performed in the United States shall contain a provision that requires the contractor to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act of 1970 (42 U.S.C. 7401) and the Federal Water Pollution Control Act (40 CFR 15) as amended. Violations shall be reported to AID and the Regional Office of the Environmental Protection Agency.

(11) Contracts which require performance outside the United States shall contain a provision requiring Workmen's Compensation Insurance (42 U.S.C. 1651, et seq.). As a general rule, Department of Labor waivers will be obtained for persons employed outside the United States who are not United States citizens or residents provided adequate protection will be given such persons. The grantee should refer questions on this subject to the AID grant officer.

7. AID ELIGIBILITY RULES FOR GOODS AND SERVICES (NOVEMBER 1985)

OMB Control No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable when goods or services are procured under the grant.)

(a) Ineligible and Restricted Goods and Services: If AID determines that the grantee has procured any of the restricted or ineligible goods and services specified below, or has procured goods and services from unauthorized sources, and has received reimbursement for such purposes without the prior written authorization of the grant officer, the grantee agrees to refund to AID the entire amount of the reimbursement. AID's policy on ineligible and restricted goods and services is contained in Chapter 4 of AID Handbook 1, Supplement B, entitled "Procurement Policies".

(1) Ineligible Goods and Services. Under no circumstances shall the grantee procure any of the following under this grant:

- (i) Military equipment,
- (ii) Surveillance equipment,
- (iii) Commodities and services for support of police or other law enforcement activities,
- (iv) Abortion equipment and services,
- (v) Luxury goods and gambling equipment, or
- (vi) Weather modification equipment.

(2) Ineligible Suppliers. Funds provided under this grant shall not be used to procure any goods or services furnished by any firms or individuals whose name appears on the AID Consolidated List of Debarred, Suspended, and Ineligible Awardees under AID Regulation 8, entitled "Debarment, Suspension and Ineligibility" (22 CFR 208). AID will provide the grantee with a copy of this list upon request.

(3) Restricted Goods. The grantee shall not procure any of the following goods and services without the prior written authorization of the grant officer:

- (i) Agricultural commodities,
- (ii) Motor vehicles,
- (iii) Pharmaceuticals,
- (iv) Pesticides,
- (v) Rubber compounding chemicals and plasticizers,
- (vi) Used equipment,
- (vii) U.S. Government-owned excess property, or
- (viii) Fertilizer.

(b) Source, Origin, and Nationality: The eligibility rules for goods and services are based on source, origin, and nationality and are divided into two categories. One applies when the total procurement during the life of the grant is over \$250,000 and the other applies when the total procurement element during the life of the grant is not over \$250,000. The total procurement element includes procurement of all goods (e.g., equipment, materials, supplies) and services. Guidance on the eligibility of specific goods or services may be obtained from the grant officer. AID policies and definitions on source, origin, and nationality are contained in Chapters 4 and 5 of AID Handbook I, Supplement B, entitled "Procurement Policies".

(1) When the total procurement element during the life of this grant is valued at \$250,000 or less, the following rules apply:

(i) All goods and services, the costs of which are to be reimbursed under this grant and which will be financed with U. S. dollars, shall be purchased in and shipped from only "Special Free World" countries (i.e., AID Geographic Code 935) in accordance with the following order of preference:

- (A) The United States (AID Geographic code 000),
- (B) The Cooperating Country,
- (C) "Selected Free World" countries (AID Geographic Code 941), and
- (D) "Special Free World" countries (AID Geographic Code 935).

(ii) Application of Order of Preference: When the grantee procures goods and services from other than U.S. sources, under the order of preference in paragraph b(1)(i) above, the grantee shall document its files to justify each such instance. The documentation shall set forth the circumstances surrounding the procurement and shall be based on one or more of the following reasons, which will be set forth in the grantee's documentation:

(A) The procurement was of an emergency nature, which would not allow for the delay attendant to soliciting U.S. sources,

(B) The price differential for procurement from U.S. sources exceeded by 50% or more the delivered price from the non-U.S. source,

(C) Impelling local political considerations precluded consideration of U.S. sources,

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(D) The goods or services were not available from U.S. sources, or

(E) Procurement of locally available goods and services, as opposed to procurement of U.S. goods and services, would best promote the objectives of the Foreign Assistance program under the grant.

(2) When the total procurement element exceeds \$250,000, the following rule applies: Except as may be specifically approved or directed in advance by the grant officer, all goods and services, which will be reimbursed under this grant and financed with U. S. dollars, shall be procured in and shipped from the U. S. (Code 000) and from any other countries within the authorized geographic code as specified in the schedule of this grant.

(c) Marine Insurance: The eligibility of marine insurance is determined by the country in which it is placed. Insurance is placed in a country if payment of the insurance premium is made to, and the insurance policy is issued by an insurance company located in that country. Eligible countries for placement are governed by the authorized geographic code, except that if Code 941 is authorized, the Cooperating Country is also eligible. Section 604(d) of the Foreign Assistance Act requires that if a recipient country discriminates by statute, decree, rule, or practice with respect to AID-financed procurement against any marine insurance company authorized to do business in the U. S., then any AID-financed commodity shipped to that country shall be insured against marine risk and the insurance shall be placed in the U. S. with a company or companies authorized to do marine insurance business in the U. S.

(d) Ocean and air transportation shall be in accordance with the applicable provisions contained within this grant.

(e) Printed or Audio-Visual Teaching Materials: If the effective use of printed or audio-visual teaching materials depends upon their being in the local language and if such materials are intended for technical assistance projects or activities financed by AID in whole or in part and if other funds including U.S.-owned or U.S.-controlled local currencies are not readily available to finance the procurement of such materials, local language versions may be procured from the following sources, in order of preference:

- (1) The United States (AID Geographic Code 000),
- (2) The Cooperating Country,
- (3) "Selected Free World" countries (AID Geographic Code 941), and
- (4) "Special Free World" countries (AID Geographic Code 899).

(f) Special Restrictions on the Procurement of Construction or Engineering Services: Section 604(g) of the Foreign Assistance Act provides that AID funds may not be used for "procurement of construction or engineering services from advanced developing countries, eligible under Geographic Code 941, which have attained a competitive capability in international markets for construction services or engineering services." In order to insure eligibility of a Code 941 contractor for construction or engineering services, the grantee shall obtain the grant officer's prior approval for any such contract.

#### 8. SUBAGREEMENTS (NOVEMBER 1985)

(This provision is applicable when subgrants or cooperative agreements are financed under the grant.)

(a) Funds provided under this grant shall not be used to support any subrecipient whose name appears on the AID Consolidated List of Debarred, Suspended, or Ineligible Awardees under AID Regulation 8, entitled "Debarment, Suspension and Ineligibility" (22 CFR 208). AID will provide the grantee with a copy of this list upon request.

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(b) All subagreements shall as a minimum contain, in addition to provisions to define a sound and complete agreement, the following provisions as well as any that are specifically required by any other provision in this grant. Whenever a provision within this grant is required to be inserted in a subagreement, the grantee shall insert a statement in the subagreement that in all instances where the U.S. Government is mentioned, the grantee's name will be substituted.

(1) Subagreements in excess of \$10,000 shall contain provisions or conditions that will allow for administrative or legal remedies in instances where subrecipients violate subagreement terms and provide for such remedial action as may be appropriate.

(2) All subagreements in excess of \$10,000 shall contain suitable provisions for termination by the recipient including the manner by which termination will be effected and the basis for settlement. In addition, such subagreements shall describe conditions under which the subagreement may be terminated for default as well as conditions where the subagreement may be terminated because of circumstances beyond the control of the subrecipient.

(3) Subagreements, the principal purpose of which is to create, develop or improve products, processes or methods; or for exploration into fields that directly concern public health, safety or welfare; or subagreements in the field of science or technology in which there has been little significant experience outside of work funded by Federal assistance, shall contain a notice to the effect that matters regarding rights to inventions and materials generated under the subagreement are subject to the regulations contained in the provisions of this grant. The subrecipient shall be advised as to the source of additional information regarding these matters.

(4) All subagreements over \$10,000 issued by recipients shall include a provision to the effect that the recipient, AID, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers and records of the subrecipient which are directly pertinent to the specific program for the purpose of making audits, examinations, excerpts and transcriptions.

#### 9. LOCAL COST FINANCING (NOVEMBER 1988)

(This provision applies only when local costs are authorized by the grant, and must be used with the standard provision entitled "Procurement of Goods and Services.")

(a) Costs qualifying as local costs are eligible for financing under the grant in accordance with the terms of this standard provision. Local costs are defined as (1) indigenous goods, (2) imported shelf items, and (3) services provided by suppliers meeting the requirements contained in subparagraph (b). Indigenous goods are those that have been mined, grown or produced in the cooperating country through manufacture, processing or assembly. In the case of produced goods containing imported components, to qualify as indigenous a commercially recognized new commodity must result that is substantially different in basic characteristics or in purpose or utility from its components. Imported items are eligible for financing under the following situations: (1) Imported items available in the cooperating country which otherwise meet the source/origin requirements of the grant may be financed in unlimited quantities, regardless of dollar value, up to the total amount available for local procurement under the terms of the grant agreement. (2) Imported items from Geographic Code 941 countries which are available in the cooperating country can be funded in unlimited quantities, regardless of dollar value, up to the total amount available for local

procurement under the terms of the grant. (3) Imported items from any Free World country which are available locally, or imported specifically for the grant, may be financed if the cost of the transaction, excluding the cost of the transportation, does not exceed the local currency equivalent of \$5,000.

(b) To qualify as local costs, goods and services must also meet the following additional requirements:

(1) They must be paid for in local currency.

(2) The supplier must be located in the cooperating country and must be of cooperating country nationality as defined in AID Handbook 18, Chapter 5.

(3) Any component from a country not included in AID geographic code 935 renders a commodity ineligible for financing.

(c) Ineligible Goods and Services: Under no circumstances shall the grantee procure any of the following under this grant:

(1) Military equipment,

(2) Surveillance equipment,

(3) Commodities and services for support of police or other law enforcement activities,

(4) Abortion equipment and services,

(5) Luxury goods and gambling equipment, or

(6) Weather modification equipment.

(d) Ineligible Suppliers: Funds provided under this grant shall not be used to procure any goods or services furnished by any firm or individual whose name appears on AID's Consolidated List of Debarred, Suspended, or Ineligible Awardees (AID Regulation 8, [22 CFR 208]). AID will provide the grantee with this list upon request.

(e) Restricted Goods: The grantee shall not procure any of the following goods and services without the prior written authorization of the grant officer:

(1) Agricultural commodities,

(2) Motor vehicles,

(3) Pharmaceuticals,

(4) Pesticides,

(5) Rubber compounding chemicals and plasticizers,

(6) Used equipment,

(7) U.S. Government-owned excess property, or

(8) Fertilizer.

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(f) If AID determines that the grantee has procured any of the restricted or ineligible goods and services specified in subparagraphs (c) through (e) above, or has received reimbursement for such purpose without the prior written authorization of the grant officer, the grantee agrees to refund to AID the entire amount of the reimbursement.

10. PATENT RIGHTS (NOVEMBER 1985)

(This provision is applicable whenever patentable processes or practices are financed by the grant.)

(a) Definitions.

(1) Invention means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the United States Code.

(2) Subject invention means any invention of the recipient conceived or first actually reduced to practice in the performance of work under this agreement.

(3) Practical application means to manufacture in the case of a composition or product, to practice in the case of a process or method, or to operate in the case of a machine or system; and, in each case, under such conditions as to establish that the invention is being utilized and that its benefits are, to the extent permitted by law or Government regulations, available to the public on reasonable terms.

(4) Made when used in relation to any invention means the conception or first actual reduction to practice of such invention.

(5) Small business firm means a domestic small business concern as defined at Section 2 of Public Law 85-536 (15 U.S.C. 632) and implementing regulations of the Administrator of the Small Business Administration. For the purpose of this clause, the size standards for small business concerns involved in Government procurement and subcontracting at 13 CFR 121.3-2 and 13 CFR 121.3-12, respectively, shall be used.

(6) Nonprofit organization means a domestic university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)) or any domestic nonprofit scientific or any educational organization qualified under a state nonprofit organization statute.

(b) Allocation of Principal Rights: The recipient may retain the entire right, title, and interest throughout the world to each subject invention subject to the provisions of this clause and 35 U.S.C. 203. With respect to any subject invention in which the recipient retains title, the Federal Government shall have a non-exclusive, non-transferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States the subject invention throughout the world.

(c) Invention Disclosure, Election of Title, and Filing of Patent Applications by Recipient:

(1) The recipient shall disclose each subject invention to AID within two months after the inventor discloses it in writing to recipient personnel responsible for patent matters. The disclosure to AID shall be in the form of a written report and shall identify the agreement under which the invention was made and the inventor(s). It shall be sufficiently complete in technical detail to convey a clear understanding, to the extent known at the time of the

disclosure, of the nature, purpose, operation, and the physical, chemical, biological or electrical characteristics of the invention. The disclosure shall also identify any publication, on sale or public use of the invention and whether a manuscript describing the invention has been submitted for publication and, if so, whether it has been accepted for publication at the time of disclosure. In addition, after disclosure to AID the recipient shall promptly notify AID of the acceptance of any manuscript describing the invention for publication or of any on sale or public use planned by the recipient.

(2) The recipient shall elect in writing whether or not to retain title to any such invention by notifying AID within twelve months of disclosure to the recipient, provided that in any case where publication, on sale, or public use has initiated the one-year statutory period wherein valid patent protection can still be obtained in the United States, the period of election of title may be shortened by AID to a date that is no more than 60 days prior to the end of the statutory period.

(3) The recipient shall file its initial patent application on an elected invention within two years after election or, if earlier, prior to the end of any statutory period wherein valid patent protection can be obtained in the United States after a publication, on sale, or public use. The recipient shall file patent applications in additional countries within either ten months of the corresponding initial patent application or six months from the date permission is granted by the Commissioner of Patents and Trademarks to file foreign patent applications where such filing has been prohibited by a Secrecy Order.

(4) Requests for extension of the time for disclosure to AID, election, and filing may, at the discretion of AID, be granted.

(d) Conditions When the Government May Obtain Title: The recipient shall convey to AID upon written request, title to any subject invention:

(1) If the recipient fails to disclose or elect the subject invention within the times specified in (c) above, or elects not to retain title. AID may only request title within sixty days after learning of the recipient's failure to report or elect within the specified times.

(2) In those countries in which the recipient fails to file patent applications within the times specified in (c) above; provided, however, that if the recipient has filed a patent application in a country after the times specified in (c) above, but prior to its receipt of the written request of AID the recipient shall continue to retain title in that country.

(3) In any country in which the recipient decides not to continue the prosecution of any application for, to pay the maintenance fees on, or defend in reexamination or opposition proceeding on a patent on a subject invention.

(e) Minimum Rights to Recipient:

(1) The recipient shall retain a nonexclusive, royalty-free license throughout the world in each subject invention to which the Government obtains title except if the recipient fails to disclose the subject invention within the times specified in (c) above. The recipient's license extends to its domestic subsidiaries and affiliates, if any, within the corporate structure of which the recipient is a party and includes the right to grant sublicenses of the same scope to the extent the recipient was legally obligated to do so at the time the agreement was awarded. The license is transferable only with the approval of AID except when transferred to the successor of that party of the recipient's business to which the invention pertains.

(2) The recipient's domestic license may be revoked or modified by AID to the extent necessary to achieve expeditious practical application of the subject invention pursuant to an application for an exclusive license submitted in accordance with applicable provisions in the Federal Property Management Regulations and agency licensing regulations (if any). This license shall not be revoked in that field of use or the geographical areas in which the recipient has achieved practical application and continues to make the benefits of the invention reasonably accessible to the public. The license in any foreign country may be revoked or modified at the discretion of AID to the extent the recipient, its licensees, or its domestic subsidiaries or affiliates have failed to achieve practical application in that foreign country.

(3) Before revocation or modification of the license, AID shall furnish the recipient written notice of its intention to revoke or modify the license, and the recipient shall be allowed thirty days (or such other time as may be authorized by AID for good cause shown by the recipient) after the notice to show cause why the license should not be revoked or modified. The recipient has the right to appeal, in accordance with applicable agency licensing regulations (if any) and the Federal Property Management Regulations concerning the licensing of Government-owned inventions, any decision concerning the revocation or modification of its license.

(f) Recipient Action to Protect the Government's Interest:

(1) The recipient agrees to execute or to have executed and promptly deliver to AID all instruments necessary to (i) establish or conform the rights the Government has throughout the world in those subject inventions to which the recipient elects to retain title, and (ii) convey title to AID when requested under paragraph (d) above, and to enable the Government to obtain patent protection throughout the world in that subject invention.

(2) The recipient agrees to require, by written agreement, its employees, other than clerical and nontechnical employees, to disclose promptly in writing to personnel identified as responsible for the administration of patent matters and in a format suggested by the recipient each subject invention made under agreement in order that the recipient can comply with the disclosure provisions of paragraph (c) above, and to execute all papers necessary to file patent applications on subject inventions and to establish the Government's rights in the subject inventions. This disclosure format should require, as a minimum, the information required by (c)(1) above. The recipient shall instruct such employees through employee agreements or other suitable educational programs on the importance of reporting inventions in sufficient time to permit the filing of patent applications prior to U.S. or foreign statutory bars.

(3) The recipient shall notify AID of any decision not to continue the prosecution of a patent application, pay maintenance fees, or defend in a reexamination or opposition proceeding on a patent, in any country, not less than 30 days before the expiration of the response period required by the relevant patent office.

(4) The recipient agrees to include, within the specification of any United States patent application and any patent issuing thereon covering a subject invention, the following statement: "This invention was made with Government support under (identify the agreement awarded by AID). The Government has certain rights in this invention."

(g) Subagreements and Contracts: The recipient shall include this standard provision suitably modified to identify the parties, in all subagreements and contracts, regardless of tier, for experimental, developmental, or research work to be performed by a small business firm or nonprofit organization. The subrecipient or contractor shall retain all rights provided for the recipient in this standard provision, and the recipient shall not, as part of the consideration for awarding the contract or subagreement, obtain rights in the contractor's or subrecipient's subject inventions.

(h) Reporting Utilization of Subject Inventions: The recipient agrees to submit on request periodic reports no more frequently than annually on the utilization of a subject invention or on efforts at obtaining such utilization that are being made by the recipient or its licensees or assignees. Such reports shall include information regarding the status of development, date of first commercial sale or use, gross royalties received by the recipient, and such other data and information as AID may reasonably specify. The recipient also agrees to provide additional reports as may be requested by AID in connection with any march-in proceedings undertaken by AID in accordance with paragraph (j) of this provision. To the extent data or information supplied under this section is considered by the recipient, its licensee or assignee to be privileged and confidential and is so marked, AID agrees that, to the extent permitted by law, it shall not disclose such information to persons outside the Government.

(i) Preference for United States Industry: Notwithstanding any other provision of this clause, the recipient agrees that neither it nor any assignee will grant to any person the exclusive right to use or sell any subject invention in the United States unless such person agrees that any products embodying the subject invention shall be manufactured substantially in the United States. However, in individual cases, the requirement for such an agreement may be waived by AID upon a showing by the recipient or its assignee that reasonable but unsuccessful efforts have been made to grant licenses on similar terms to potential licensees that would be likely to manufacture substantially in the United States or that under the circumstances domestic manufacture is not commercially feasible.

(j) March-in Rights: The recipient agrees that with respect to any subject invention in which it has acquired title, AID has the right to require the recipient, an assignee or exclusive licensee of a subject invention to grant a non-exclusive, partially exclusive, or exclusive license in any field of use to a responsible applicant or applicants, upon terms that are reasonable under the circumstances, and if the recipient, assignee, or exclusive licensee refuses such a request, AID has the right to grant such a license itself if AID determines that:

(1) Such action is necessary because the recipient or assignee has not taken or is not expected to take within a reasonable time, effective steps to achieve practical application of the subject invention in such field of use;

(2) Such action is necessary to alleviate health or safety needs which are not reasonably satisfied by the recipient, assignee, or their licensees;

(3) Such action is necessary to meet requirements for public use specified by Federal regulations and such requirements are not reasonably satisfied by the recipient, assignee, or licensees; or

(4) Such action is necessary because the agreement required by paragraph (i) of this clause has not been obtained or waived or because a license of the exclusive right to use or sell any subject invention in the United States is in breach of such agreement.

(k) Special Provisions for Agreements with Nonprofit Organizations: If the recipient is a nonprofit organization, it agrees that:

(1) Rights to a subject invention in the United States may not be assigned without the approval of AID, except where such assignment is made to an organization which has as one of its primary functions the management of inventions and which is not, itself, engaged in or does not hold a substantial interest in other organizations engaged in the manufacture or sale of products or the use of processes that might utilize the invention or be in competition with embodiments of the invention provided that such assignee shall be subject to the same provisions as the recipient.

(2) The recipient may not grant exclusive licenses under the United States patents or patent applications in subject inventions to persons other than small business firms for a period in excess of the earlier of:

(i) Five years from first commercial sale or use of the invention; or

(ii) Eight years from the date of the exclusive license excepting that time before regulatory agencies necessary to obtain premarket clearance, unless on a case-by-case basis, AID approves a longer exclusive license. If exclusive field of use licenses are granted, commercial sale or use in one field of use shall not be deemed commercial sale or use as to other fields of use and a first commercial sale or use with respect to a product of the invention shall not be deemed to end the exclusive period to different subsequent products covered by the invention.

(3) The recipient shall share royalties collected on a subject invention with the inventor; and

(4) The balance of any royalties or income earned by the recipient with respect to subject inventions, after payment of expenses (including payments to inventors) incidental to the administration of subject inventions, shall be utilized for the support of scientific research or education.

(l) Communications: Communications concerning this provision shall be addressed to the grant officer at the address shown in this agreement.

11. PUBLICATIONS (NOVEMBER 1985)

OMB Control No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable when publications are financed under the grant.)

(a) If it is the grantee's intention to identify AID's contribution to any publication resulting from this grant, the grantee shall consult with AID on the nature of the acknowledgement prior to publication.

(b) The grantee shall provide the AID project officer with one copy of all published works developed under this grant and with lists of other written work produced under the grant.

(c) In the event grant funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost shall be credited to the grant unless the schedule of the grant has identified the profits or royalties as program income.

(d) Except as otherwise provided in the terms and conditions of the grant, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this grant, but AID reserves a royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

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12. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (MAY 1986)

OMB Control No. 0412-0510

Expiration Date: 12/31/89

(This provision is applicable to organizations whose indirect cost rate(s) under this grant are on a predetermined basis.)

(a) The allowable indirect costs under this grant shall be obtained by applying predetermined indirect cost rate(s) to the base(s) agreed upon by the parties, as specified in the schedule of this grant.

(b) Not later than 90 days after the close of the grantee's fiscal year, the grantee shall submit to the cognizant Government Audit Activity in accordance with OMB Circular A-88 a proposed predetermined indirect cost rate(s) and supporting cost data. In the event AID is the cognizant agency or no cognizant agency has been designated, the grantee shall submit a copy of the proposed predetermined indirect cost rate(s) and supporting cost data to the AID Inspector General, Washington, D.C. 20523, and to the Overhead and Special Costs - Contract Closeout Branch, Office of Procurement, Washington, D.C. 20523. The proposed rate(s) shall be based on the grantee's actual cost experience during that fiscal year. Negotiations of predetermined indirect cost rate(s) shall begin as soon as practical after receipt of the grantee's proposal.

(c) Allowability of costs and acceptability of cost allocation methods shall be determined in accordance with the provisions of the applicable cost principles in effect on the date of this grant.

(d) Rates for subsequent periods shall be negotiated and the results of each negotiation shall be set forth in a written indirect cost rate agreement executed by both parties. Such agreement shall be automatically incorporated into this grant upon execution and shall specify (1) the agreed upon predetermined rate(s), (2) the base(s) to which the rate(s) apply, (3) the fiscal year (unless the parties agree to a different period) for which the rate(s) apply, and (4) the specific items treated as direct costs or any changes in the items previously agreed to be direct costs. The indirect cost rate agreement shall not change any monetary ceiling, grant obligation, or specific cost allowance or disallowance provided for in this grant.

(e) Pending establishment of predetermined indirect cost rate(s) for any fiscal year or different period agreed to by the parties, the grantee shall be reimbursed either at the rate(s) fixed for the previous fiscal year or other period or at billing rate(s) acceptable to the AID grant officer subject to appropriate adjustment when the final rate(s) for the fiscal year or other period are established.

(f) Any failure by the parties to agree on any predetermined indirect cost rate(s) under this provision shall not be considered a dispute within the meaning of the "Disputes" provision of this grant. If for any fiscal year or other period specified in the grant the parties fail to agree on a predetermined indirect cost rate(s), it is agreed that the allowable indirect costs under this grant shall be obtained by applying negotiated final indirect cost rate(s) in accordance with the terms of the standard provision of this grant entitled "Negotiated Indirect Cost Rates - Provisional".

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13. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (MAY 1986)

OMB Control No. 0412-0510

Expiration Date: 12/31/89

(This provision is applicable to any organization which does not have predetermined indirect cost rate(s); however, it shall also be included when the NEGOTIATED INDIRECT COST RATES - PREDETERMINED standard provision is used.)

(a) A provisional indirect cost rate(s) shall be established for each of the grantee's accounting periods during the term of this grant. Pending establishment of a final rate(s), the parties have agreed that provisional payments on account of allowable indirect costs shall be at the rate(s), on the base(s), and for the periods shown in the schedule of this grant.

(b) Not later than 90 days after the close of the grantee's fiscal year, the grantee shall submit to the cognizant Government Audit Activity in accordance with OMB Circular A-88 proposed final indirect cost rate(s) and supporting cost data. In the event AID is the cognizant agency or no cognizant agency has been designated, the grantee shall submit a copy of the proposed final indirect cost rate(s) and supporting cost data to the AID Inspector General, Washington, D.C. 20523, and to the Overhead and Special Costs - Contract Closeout Branch, Office of Procurement, Washington, D.C. 20523. The proposed rate(s) shall be based on the grantee's actual cost experience during that fiscal year. Negotiations of final indirect cost rate(s) shall begin as soon as practical after receipt of the grantee's proposal.

(c) Allowability of costs and acceptability of cost allocation methods shall be determined in accordance with the applicable cost principles in effect on the date of this grant.

(d) The results of each negotiation shall be set forth in a written indirect cost rate agreement executed by both parties. Such agreement shall specify (1) the agreed upon final rate(s), (2) the base(s) to which the rate(s) apply, and (3) the period for which the rate(s) apply. The indirect cost rate agreement shall not change any monetary ceiling, grant obligation, or specific cost allowance or disallowance provided for in this grant.

(e) Pending establishment of final indirect cost rate(s) for any period, the grantee shall be reimbursed either at negotiated provisional rate(s) as provided above or at billing rate(s) acceptable to the grant officer, subject to appropriate adjustment when the final rate(s) for that period are established. To prevent substantial over or under payment, the provisional or billing rate(s) may, at the request of either party, be revised by mutual agreement, either retroactively or prospectively. Any such revision of negotiated provisional rate(s) provided in this standard provision shall be set forth in a modification to this grant.

(f) Any failure by the parties to agree on final rate(s) under this standard provision shall be considered a dispute within the meaning of the standard provision of this grant entitled "Disputes" and shall be disposed of in accordance therewith.

14. REGULATIONS GOVERNING EMPLOYEES (NOVEMBER 1985)

(The following applies to the grantee's employees who are not citizens of the cooperating country.)

(a) The grantee's employees shall maintain private status and may not rely on local U.S. Government offices or facilities for support while under this grant.

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(b) The sale of personal property or automobiles by grantee employees and their dependents in the foreign country to which they are assigned shall be subject to the same limitations and prohibitions which apply to direct-hire AID personnel employed by the Mission except as this may conflict with host government regulations.

(c) Other than work to be performed under this grant for which an employee is assigned by the grantee, no employee of the grantee shall engage directly or indirectly, either in the individual's own name or in the name or through an agency of another person, in any business, profession, or occupation in the foreign countries to which the individual is assigned, nor shall the individual make loans or investments to or in any business, profession or occupation in the foreign countries to which the individual is assigned.

(d) The grantee's employees, while in a foreign country, are expected to show respect for its conventions, customs, and institutions, to abide by its applicable laws and regulations, and not to interfere in its internal political affairs.

(e) In the event the conduct of any grantee employee is not in accordance with the preceding paragraphs, the grantee's chief of party shall consult with the AID Mission Director and the employee involved and shall recommend to the grantee a course of action with regard to such employee.

(f) The parties recognize the rights of the U.S. Ambassador to direct the removal from a country of any U.S. citizen or the discharge from this grant of any third country national when, in the discretion of the Ambassador, the interests of the United States so require.

(g) If it is determined, under either (e) or (f) above, that the services of such employee shall be terminated, the grantee shall use its best efforts to cause the return of such employee to the United States, or point of origin, as appropriate.

15. PARTICIPANT TRAINING (MAY 1986)

OMB Control No. 0412-0510  
Expiration Date: 12/31/89

(This provision is applicable when any participant training is financed under the grant.)

(a) Definition: A participant is any non-U.S. individual being trained under this grant outside of that individual's home country.

(b) Application of Handbook 10: Participant training under this grant is to be conducted according to the policies established in AID Handbook 10, Participant Training, except to the extent that specific exceptions to Handbook 10 have been provided in this grant with the concurrence of the Office of International Training. (Handbook 10 may be obtained by submitting a request to the Office of International Training (S&T/IT), Agency for International Development, Washington, D.C. 20523.) Except for paragraph (h) on orientation, the following paragraphs in this standard provision are not subject to waiver except as specifically stated.

(c) Participant Training Information System: All grantees shall ensure that participants trained in the United States or in a third country are included in the Agency's Participant Training Information System.

The grantee shall fill out form AID 1381-4 entitled "Participant Data" and send it to the addresses indicated on the back of the form. The grantee can obtain a supply of these forms and additional instructions for completing them from the Office of International Training. Data should be submitted prior to the initiation of participant travel. If this is not possible, the forms should be prepared and submitted immediately after arrival of the participant(s). The grantee shall also submit to the Office of International Training a blue copy of the form when subsequent changes in the participant's training program are made and at termination of participant's training program, ensuring that the original participant number (pre-printed on the form) is used.

(d) Visa Requirements for Training Within The United States:

(1) Under the authority of Section 635(f) of the Foreign Assistance Act, AID-sponsored participants are admitted to the United States under the Department of State/USIA Exchange Visitor Program and are issued J-1 visas. The program identification number is G-2-0263.

(2) J-1 visas are issued by the U.S. Embassy or Consulate for AID-sponsored participants upon submission by the participant of Form IAP-66A which may be obtained only from the AID Mission. The Mission retains one copy of the IAP-66A and forwards one copy to AID/S&T/IT.

(3) Holders of J-1 visas are subject to the Immigration and Nationality Act, as amended, and may not apply for an immigrant or an H or L nonimmigrant visa until 2 years' residency is completed in their home country, after completion of training.

(4) Participant passports and visas should normally be valid for six months beyond the duration of the proposed program to allow for program readjustments if necessary. This may not be regarded as an opportunity to encourage program extensions.

(e) Maintenance and Other Allowances: Grantees must observe the maintenance and other allowances for A.I.D.-sponsored participants in the United States and third country as set forth in Handbook 10. No exceptions or variations are permissible except with the advance concurrence of the Office of International Training.

(f) Health and Accident Coverage (HAC) Program for Training Within The United States: The grantee shall enroll all participants training in the United States in A.I.D.'s HAC Program. HAC Program coverage for an enrolled participant begins at the moment of departure from the host country to the United States until the moment of return to the host country, providing, however, that there is not substantial unapproved delay between completion of training under this grant and the return, and that there is no layover at any point to or from the United States except the minimal amount necessary for plane connections.

(1) The HAC Program enables the participant, or the provider of medical services, to submit bills for medical costs resulting from illness and accident to the HAC Claims Office which pays all reasonable and necessary medical charges for covered services not otherwise covered by other insurance programs (see paragraph 6 below), in accordance with the standard coverage established by A.I.D. under the HAC Program.

(2) The grantee shall, as early as possible and no later than the initiation of travel to the United States by each participant financed by A.I.D. under this grant, fill out form A.I.D. 1381-4 entitled "Participant Data" and mail it to the addressees indicated on the back of the form. The grantee can obtain a supply of these forms and instructions for completing them from the Office of International Training at the address indicated in section (b) above.

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(3) Enrollment fees shall be submitted thirty days prior to the beginning of each new enrollment period. Payments will be made via check made payable to A.I.D. and submitted to:

Agency for International Development  
Office of Financial Management  
Central Accounting Division-Cashier (FM/CAD)  
Washington, D.C. 20523

(i) The enrollment fee shall be accompanied by a letter which lists the names of the participants (identical to that on the Participant Data Form), participant I.D. numbers from the Participant Data Form, period of coverage, fee amount paid, grant number, name of grantee, host country, and the U. S. Government appropriation number as shown on the grant.

(ii) The enrollment fees shall be calculated on the basis of fixed rates per participant per each 30 day period. The enrollment fees may not be prorated for fractional periods of less than 30 days and should cover the current training period for which funds are obligated under the grant. Current rates are found in Handbook 10 Participant Training Notices.

(4) The grantee shall assure that enrollment begins immediately upon the participant's departure for the United States for the purpose of participating in a training program financed or sponsored by AID, and that enrollment continues in full force and effect until the participant returns to his or her country of origin or is released from AID's responsibility, whichever occurs first. The grantee shall continue enrollment coverage for participants whose departure is delayed due to medical or other compelling reasons, with the written concurrence of the grant officer.

(5) The grantee shall provide each participant with a copy of the HAC brochure, copies of which are available from S&T/IT at the address indicated in section (b) above.

(6) If the grantee has a mandatory, nonwaivable health and accident insurance program for participants, the costs of such insurance will be allowable under this grant. Any claims eligible under such insurance will not be payable under AID's HAC plan or under this grant. However, even though the participant is covered by the grantee's mandatory, nonwaivable health and accident insurance program, the participant must be enrolled in AID's HAC Program. In addition, a copy of the mandatory insurance policy must be forwarded to the HAC Claims Office.

(7) Medical costs not covered by the grantee's health service program or mandatory, nonwaivable health and accident insurance program, or AID's HAC Program shall not be reimbursable under this grant unless specific written approval from the grant officer has been obtained.

(g) Participant Counseling For Training Within The United States: Problems involving participants such as serious physical or emotional illness, accident or injury, arrest, death, the voluntary or involuntary early termination of a program, and the refusal of a participant to return to the home country upon completion of the program should be referred to the AID Participant Counselor at the Office of International Training.

The Counselor can be reached by calling the Office of International Training during workdays and the AID Duty Officer (202-647-1512) at other times. In referring cases, give the Counselor the name, country, and current location of the participant as well as a brief description of the problem with names and telephone numbers of hospitals, physicians, attorneys, etc. Following verbal referral, the participant's name, home address, and next of kin, and location of training should be sent to the grant officer, who will transmit the information to the S&T/IT Counselor.

(h) Orientation: In addition to the above mandatory requirements for all participants, grantees are strongly encouraged to provide, in collaboration with the Mission training officer, predeparture orientation (see Chapter 13 of Handbook 10) and orientation in Washington at the Washington International Center (see Chapter 18D of Handbook 10). The latter orientation program also provides the opportunity to arrange for home hospitality in Washington and elsewhere in the United States through liaison with the National Council for International Visitors (NCIV). If the Washington orientation is determined not to be feasible, home hospitality can be arranged in most U.S. cities if a request for such is directed to the grant officer, who will transmit the request to NCIV through S&T/IT.

16. VOLUNTARY POPULATION PLANNING (AUGUST 1986)

(This provision is applicable to all grants involving any aspect of voluntary population planning activities.)

(a) Voluntary Participation:

(1) The grantee agrees to take any steps necessary to ensure that funds made available under this grant will not be used to coerce any individual to practice methods of family planning inconsistent with such individual's moral, philosophical, or religious beliefs. Further, the grantee agrees to conduct its activities in a manner which safeguards the rights, health and welfare of all individuals who take part in the program.

(2) Activities which provide family planning services or information to individuals, financed in whole or in part under this agreement, shall provide a broad range of family planning methods and services available in the country in which the activity is conducted or shall provide information to such individuals regarding where such methods and services may be obtained.

(b) Voluntary Participation Requirements For Sterilization Programs:

(1) None of the funds made available under this grant shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any person to practice sterilization.

(2) The grantee shall ensure that any surgical sterilization procedures supported in whole or in part by funds from this grant are performed only after the individual has voluntarily gone to the treatment facility and has given informed consent to the sterilization procedure. Informed consent means the voluntary, knowing assent from the individual after being advised of the surgical procedures to be followed, the attendant discomforts and risks, the benefits to be expected, the availability of alternative methods of family planning, the purpose of the operation and its irreversibility, and the option to withdraw consent anytime prior to the operation. An individual's consent is considered voluntary if it is based upon the exercise of free choice and is not obtained by any special inducement or any element of force, fraud, deceit, duress, or other forms of coercion or misrepresentation.

(3) Further, the grantee shall document the patient's informed consent by (i) a written consent document in a language the patient understands and speaks, which explains the basic elements of informed consent, as set out above, and which is signed by the individual and by the attending physician or by the authorized assistant of the attending physician; or (ii) when a patient is unable to read adequately a written certification by the attending physician or by the authorized assistant of the attending physician that the basic elements of informed consent above were orally

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presented to the patient, and that the patient thereafter consented to the performance of the operation. The receipt of the oral explanation shall be acknowledged by the patient's mark on the certification and by the signature or mark of a witness who shall be of the same sex and speak the same language as the patient.

(4) Copies of informed consent forms and certification documents for each voluntary sterilization procedure must be retained by the grantee for a period of three years after performance of the sterilization procedure.

**(c) Prohibition on Abortion-Related Activities:**

(1) No funds made available under this grant will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to women to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for abortion.

(2) No funds made available under this grant will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

**(d) Ineligibility of Foreign Nongovernmental Organizations That Perform or Actively Promote Abortion As A Method of Family Planning:**

(1) The recipient agrees that it will not furnish assistance for family planning under this grant to any foreign nongovernmental organization which performs or actively promotes abortion as a method of family planning in AID-recipient countries or which provides financial support to any other foreign nongovernmental organization that conducts such activities. For purposes of this paragraph (d), a foreign nongovernmental organization is a nongovernmental organization which is not organized under the laws of any State of the United States, the District of Columbia or the Commonwealth of Puerto Rico.

(2) Prior to furnishing funds provided under this grant to another nongovernmental organization organized under the laws of any State of the United States, the District of Columbia, or the Commonwealth of Puerto Rico, the recipient shall obtain the written agreement of such organization that the organization shall not furnish assistance for family planning under this grant to any foreign nongovernmental organization except under the conditions and requirements that are applicable to the recipient as set forth in this paragraph (d).

(3) The recipient may not furnish assistance for family planning under this grant to a foreign nongovernmental organization (the subrecipient) unless;

(i) the subrecipient certifies in writing that it does not perform or actively promote abortion as a method of family planning in AID-recipient countries and does not provide financial support to any other foreign nongovernmental organization that conducts such activities, and

(ii) the recipient obtains the written agreement of the subrecipient containing the undertakings described in subparagraph (4), below.

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(4) Prior to furnishing assistance for family planning under this grant to a subrecipient, the subrecipient must agree in writing that:

(i) The subrecipient will not, while receiving assistance under this grant, perform or actively promote abortion as a method of family planning in AID-recipient countries or provide financial support to other foreign nongovernmental organizations that conduct such activities.

(ii) The recipient and authorized representatives of AID may, at any reasonable time, (A) inspect the documents and materials maintained or prepared by the subrecipient in the usual course of its operations that describe the family planning activities of the subrecipient, including reports, brochures and service statistics; (B) observe the family planning activity conducted by the subrecipient; (C) consult with family planning personnel of the subrecipient; and (D) obtain a copy of the audited financial statement or report of the subrecipient, if there is one.

(iii) In the event the recipient or AID has reasonable cause to believe that a subrecipient may have violated its undertaking not to perform or actively promote abortion as a method of family planning, the recipient shall review the family planning program of the subrecipient to determine whether a violation of the undertaking has occurred. The subrecipient shall make available to the recipient such books and records and other information as may be reasonably requested in order to conduct the review. AID may also review the family planning program of the subrecipient under these circumstances, and AID shall have access to such books and records and information for inspection upon request.

(iv) The subrecipient shall refund to the recipient the entire amount of assistance for family planning furnished to the subrecipient under this grant in the event it is determined that the certification provided by the subrecipient under subparagraph (3), above, is false.

(v) Assistance for family planning provided to the subrecipient under this grant shall be terminated if the subrecipient violates any undertaking in the agreement required by subparagraphs (3) and (4), and the subrecipient shall refund to the recipient the value of any assistance furnished under this grant that is used to perform or actively promote abortion as a method of family planning.

(vi) The subrecipient may furnish assistance for family planning under this grant to another foreign nongovernmental organization (the sub-subrecipient) only if (A) the sub-subrecipient certifies in writing that it does not perform or actively promote abortion as a method of family planning in AID-recipient countries and does not provide financial support to any other foreign nongovernmental organization that conducts such activities and (B) the subrecipient obtains the written agreement of the sub-subrecipient that contains the same undertakings and obligations to the subrecipient as those provided by the subrecipient to the recipient as described in subparagraphs (4)(i)-(v), above.

(5) Agreements with subrecipients and sub-subrecipients required under subparagraphs (3) and (4) shall contain the definitions set forth in subparagraph (10) of this paragraph (d).

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(6) The recipient shall be liable to AID for a refund for a violation of any requirement of this paragraph (d) only if (i) the recipient knowingly furnishes assistance for family planning to a subrecipient who performs or actively promotes abortion as a method of family planning, or (ii) the certification provided by a subrecipient is false and the recipient failed to make reasonable efforts to verify the validity of the certification prior to furnishing assistance to the subrecipient, or (iii) the recipient knows or has reason to know, by virtue of the monitoring which the recipient is required to perform under the terms of this grant, that a subrecipient has violated any of the undertakings required under subparagraph (4) and the recipient fails to terminate assistance for family planning to the subrecipient, or fails to require the subrecipient to terminate such assistance to a sub-subrecipient which violates any undertaking of the agreement required under subparagraph (4)(vi), above. If the recipient finds, in exercising its monitoring responsibility under this grant, that a subrecipient or sub-subrecipient receives frequent requests for the information described in subparagraph (10)(iii)(A)(II), below, the recipient shall verify that this information is being provided properly in accordance with subparagraph (10)(iii)(A)(II) and shall describe to AID the reasons for reaching its conclusion.

(7) In submitting a request to AID for approval of a recipient's decision to furnish assistance for family planning to a subrecipient, the recipient shall include a description of the efforts made by the recipient to verify the validity of the certification provided by the subrecipient. AID may request the recipient to make additional efforts to verify the validity of the certification. AID will inform the recipient in writing when AID is satisfied that reasonable efforts have been made. If AID concludes that these efforts are reasonable within the meaning of subparagraph (6) above, the recipient shall not be liable to AID for a refund in the event the subrecipient's certification is false unless the recipient knew the certification to be false or misrepresented to AID the efforts made by the recipient to verify the validity of the certification.

(8) It is understood that AID also may make independent inquiries, in the community served by a subrecipient or sub-subrecipient, regarding whether it performs or actively promotes abortion as a method of family planning.

(9) A subrecipient must provide the certification required under subparagraph (3) and a sub-subrecipient must provide the certification required under subparagraph (4)(vi) each time a new agreement is executed with the subrecipient or sub-subrecipient furnishing assistance for family planning under the grant.

(10) The following definitions apply for purposes of this paragraph (d):

(i) Abortion is a method of family planning when it is for the purpose of spacing births. This includes, but is not limited to, abortions performed for the physical or mental health of the mother but does not include abortions performed if the life of the mother would be endangered if the fetus were carried to term or abortions performed following rape or incest (since abortion under these circumstances is not a family planning act).

(ii) To perform abortions means to operate a facility where abortions are performed as a method of family planning. Excluded from this definition are clinics or hospitals which do not include abortion in their family planning programs.

(iii) To actively promote abortion means for an organization to commit resources, financial or other, in a substantial or continuing effort to increase the availability or use of abortion as a method of family planning.

(A) This includes, but is not limited to, the following:

(I) Operating a family planning counseling service that includes, as part of the regular program, providing advice and information regarding the benefits and availability of abortion as a method of family planning;

(II) Providing advice that abortion is an available option in the event other methods of family planning are not used or are not successful or encouraging women to consider abortion (passively responding to a question regarding where a safe, legal abortion may be obtained is not considered active promotion if the question is specifically asked by a woman who is already pregnant, the woman clearly states that she has already decided to have a legal abortion, and the family planning counselor reasonably believes that the ethics of the medical profession in the country require a response regarding where it may be obtained safely);

(III) Lobbying a foreign government to legalize or make available abortion as a method of family planning or lobbying such a government to continue the legality of abortion as a method of family planning;

(IV) Conducting a public information campaign in AID-recipient countries regarding the benefits and/or availability of abortion as a method of family planning.

(B) Excluded from the definition of active promotion of abortion as a method of family planning are referrals for abortion as a result of rape, incest or if the life of the mother would be endangered if the fetus were carried to term.

(C) Action by an individual acting in the individual's capacity shall not be attributed to an organization with which the individual is associated, provided that the organization neither endorses nor provides financial support for the action and takes reasonable steps to ensure that the individual does not improperly represent that the individual is acting on behalf of the organization.

(iv) To furnish assistance to a foreign nongovernmental organization means to provide financial support under this grant to the family planning program of the organization, and includes the transfer of funds made available under this grant or goods or services financed with such funds, but does not include the purchase of goods or services from an organization or the participation of an individual in the general training programs of the recipient, subrecipient or sub-subrecipient.

(v) To control an organization means the possession of the power to direct or cause the direction of the management and policies of an organization.

(11) In determining whether a foreign nongovernmental organization is eligible to be a subrecipient or sub-subrecipient of assistance for family planning under this grant, the action of separate nongovernmental organizations shall not be imputed to the subrecipient or sub-subrecipient, unless, in the judgment of AID, a separate nongovernmental organization is being used as a sham to avoid the restrictions of this paragraph (d). Separate nongovernmental organizations are those that have distinct legal existence in accordance with the laws of the countries in which they are organized. Foreign organizations that are separately organized shall not be considered separate, however, if one is controlled by the other. The recipient may request AID's approval to treat as separate the family planning activities of two or more organizations, which would not be considered separate under the preceding sentence, if the recipient believes, and provides a written justification to AID therefor, that the family planning activities of the organizations are sufficiently distinct as to warrant not imputing the activity of one to the other.

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(12) Assistance for family planning may be furnished under this grant by a recipient, subrecipient or sub-subrecipient to a foreign government even though the government includes abortion in its family planning program, provided that no assistance may be furnished in support of the abortion activity of the government and any funds transferred to the government shall be placed in a segregated account to ensure that such funds may not be used to support the abortion activity of the government.

(13) The requirements of this paragraph are not applicable to family planning assistance furnished to a foreign nongovernmental organization which is engaged primarily in providing health services if the objective of the assistance is to finance integrated health care services to mothers and children and birth spacing or family planning is one of several health care services being provided by the organization as part of an integrated system of health service delivery.

(e) The grantee shall insert paragraphs (a), (b), (c), and (e) of this provision in all subsequent subagreements and contracts involving family planning or population activities which will be supported in whole or part from funds under this grant. Paragraph (d) shall be inserted in subagreements and sub-subagreements in accordance with the terms of paragraph (d). The term subagreement means subgrants and subcooperative agreements.

17. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (NOVEMBER 1985)

OMB Control No. 0412-0510

Expiration Date: 1/31/89

(This provision is applicable when human subjects are involved in research financed by the grant.)

(a) Safeguarding the rights and welfare of human subjects involved in research supported by AID is the responsibility of the organization to which support is awarded. It is the policy of AID that no work shall be initiated under any grant for the support of research involving human subjects unless the research is given initial and continuing review and approval by an appropriate committee of the applicant organization. This review shall assure that (1) the rights and welfare of the individuals involved are adequately protected, (2) the methods used to obtain informed consent are adequate and appropriate, and (3) the risks and potential medical benefits of the investigation are assessed.

(b) The organization must provide written assurance to AID that it will abide by this policy for all research involving human subjects supported by AID. This assurance shall consist of a written statement of compliance with the requirements regarding initial and continuing review of research involving human subjects and a description of the organization's review committee structure, its review procedures, and the facilities and personnel available to protect the health and safety of human subjects. In addition to providing the assurance, the organization must also certify to AID for each proposal involving human subjects that its committee has reviewed and approved the proposed research before any work may be initiated.

(c) Since the welfare of the subject individual is a matter of concern to AID as well as to the organization, AID advisory groups, consultants, and staff may independently review all research involving human subjects, and prohibit research which presents unacceptable hazards. This provision, however, shall not derogate in any manner from the responsibility of the organization set forth herein.

(d) All of the above provisions apply to any research involving human subjects conducted outside of the United States and, in addition, such overseas research will conform to legal and other requirements governing human research in the country where they are conducted.

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(e) In addition to the procedures set forth above, studies with unmarketed drugs will be carried out in accordance with provisions applicable in the country where the study is conducted. In the United States, the regulations of the Food and Drug Administration will be followed and evidence of such compliance provided to AID.

(f) Guidance on procedures to safeguard human subjects involved in research is found in Title 45, Part 46, of the Code of Federal Regulations. Compliance with these procedures, except as modified above, is required.

18. CARE OF LABORATORY ANIMALS (NOVEMBER 1985)

OHB Control No. 0412-0510

Expiration Date: 12/31/89

(This provision is applicable when laboratory animals are involved in research financed by the grant.)

(a) Before undertaking performance of any grant involving the use of laboratory animals, the grantee shall register with the Secretary of Agriculture of the United States in accordance with Section 6, Public Law 89-544, Laboratory Animal Welfare Act, August 24, 1966, as amended by Public Law 91-579, Animal Welfare Act of 1970, December 24, 1970. The grantee shall furnish evidence of such registration to the grant officer.

(b) The grantee shall acquire animals used in research under this grant only from dealers licensed by the Secretary of Agriculture, or from exempted sources in accordance with the Public Laws enumerated in (a) above.

(c) In the care of any live animals used or intended for use in the performance of this grant, the grantee shall adhere to the principles enunciated in the Guide for Care and Use of Laboratory Animals prepared by the Institute of Laboratory Animals Resources, National Academy of Sciences - National Research Council, and in the United States Department of Agriculture's (USDA) regulations and standards issued under the Public Laws enumerated in (a) above. In case of conflict between standards, the higher standard shall be used. The grantee's reports on portions of the grant in which animals were used shall contain a certificate stating that the animals were cared for in accordance with the principles enunciated in the Guide for Care and Use of Laboratory Animals prepared by the Institute of Laboratory Animal Resources, NAS-NRC, and/or in the regulations and standards as promulgated by the Agricultural Research Service, USDA, pursuant to the Laboratory Animal Welfare Act of 24 August 1966, as amended (P.L. 89-544 and P.L. 91-579). NOTE: The grantee may request registration of the grantee's facility and a current listing of licensed dealers from the Regional Office of the Animal and Plant Health Inspection Service (APHIS), USDA, for the region in which the grantee's research facility is located. The location of the appropriate APHIS Regional Office as well as information concerning this program may be obtained by contracting the Senior Staff Office, Animal Care Staff, USDA/APHIS, Federal Center Building, Hyattsville, Maryland 20782.

19. GOVERNMENT FURNISHED EXCESS PERSONAL PROPERTY (NOVEMBER 1985)

(This provision applies when personal property is furnished under the grant.)

The policies and procedures of Handbook 16, "Excess Property," and the appropriate provisions of 41 CFR 101-43 apply to the Government furnished excess property under this grant.

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20. TITLE TO AND USE OF PROPERTY (GRANTEE TITLE) (NOVEMBER 1985)

(This provision is applicable when the Government vests title to property in the grantee only.)

Title to all property financed under this grant shall vest in the grantee, subject to the following conditions:

(a) The grantee shall not charge for any depreciation, amortization, or use of any property, title to which remains in the grantee under this provision under this grant or any other U.S. Government agreement, subagreement, contract, or subcontract.

(b) The grantee agrees to use and maintain the property for the purpose of the grant in accordance with the requirements of paragraphs (c), (d), (e), and (f) below.

(c) Real Property:

(1) Real property means land, including land improvements, structures and appurtenances thereto, but excluding movable machinery and equipment.

(2) Use of Real Property:

(i) The grantee shall use the real property for the authorized purpose of the project, as long as it is needed.

(ii) The grantee shall obtain approval from AID for the use of real property in other projects when the grantee determines that the property is no longer needed for the purpose of the original program. Use in other programs shall be limited to those under other federally sponsored programs (i.e., grants or other agreements) that have purposes consistent with those authorized for support by AID.

(3) Disposition of Real Property: When the real property is no longer needed as provided in (2) above, the grantee shall request disposition instructions from AID or its successor Federal sponsoring agency. AID or the successor Federal sponsoring agency shall observe the following rules in the disposition instructions:

(i) The grantee may be permitted to retain title after it compensates the Federal Government in an amount computed by applying the Federal percentage of participation in the cost of the original program to the fair market value of the property.

(ii) The grantee may be directed to sell the property under guidelines provided by the Federal sponsoring agency and pay the Federal Government an amount computed by applying the Federal percentage of participation in the cost of the original program to the proceeds from sale (after deducting actual and reasonable selling and fix-up expenses, if any, from the sales proceeds). When the grantee is authorized or required to sell the property, proper sales procedures shall be established that provide for competition to the extent practicable and result in the highest possible return.

(iii) The grantee may be directed to transfer title to the property to the Federal Government provided that in such cases the grantee shall be entitled to compensation computed by applying the grantee's percentage of participation in the cost of the program to the current fair market value of the property.

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(d) Nonexpendable Property:

(1) Nonexpendable personal property means tangible personal property having a useful life of more than two years and an acquisition cost of \$500 or more per unit.

(2) Use of Nonexpendable Personal Property:

(i) The grantee shall use the property in the program for which it was acquired as long as needed, whether or not the program continues to be supported by Federal funds. When no longer needed for the original program, the grantee shall use the property in connection with its other federally sponsored activities in the following order of priority:

(A) Activities sponsored by AID.

(B) Activities sponsored by other Federal agencies.

(ii) Shared use - During the time that nonexempt nonexpendable personal property is held for use on the program for which it was acquired the grantee shall make it available for use on other programs if such other use will not interfere with the work on the program for which the property was originally acquired. First preference for such other use shall be given to other programs sponsored by AID; second preference shall be given to programs sponsored by other Federal agencies. User charges should be considered if appropriate.

(3) Disposition Of Nonexpendable Personal Property - With A Unit Acquisition Cost Of Less Than \$1,000: The grantee may use the property for other activities without reimbursement to the Federal Government or sell the property and retain the proceeds.

(4) Disposition Of Nonexpendable Personal Property With A Unit Acquisition Cost Of \$1,000 Or More:

(i) The grantee agrees to report such items to the grant officer from time to time as they are acquired and to maintain a control system which will permit their ready identification and location.

(ii) The grantee may retain the property for other uses provided that compensation is made to AID or its successor. The amount of compensation shall be computed by applying the percentage of Federal participation in the cost of the original program to the current fair market value of the property. If the grantee has no need for the property and the property has further use value, the grantee shall request disposition instructions from AID.

(iii) AID shall determine whether the property can be used to meet AID requirements. If no requirement exists within AID the availability of the property shall be reported to the General Services Administration by AID to determine whether a requirement for the property exists in other Federal agencies. AID shall issue instructions to the recipient no later than 120 days after the grantee's request and the following procedures shall govern:

(A) If so instructed or if disposition instructions are not issued within 120 calendar days after the grantee's request, the grantee shall sell the property and reimburse AID an amount computed by applying to the sales proceeds that percentage of Federal participation in the cost of the original program. However, the grantee shall be permitted to deduct and retain from the Federal share \$100 or ten percent of the proceeds, whichever is greater, for the grantee's selling and handling expenses.

(B) If the grantee is instructed to ship the property elsewhere, the grantee shall be reimbursed by the benefiting Federal agency with an amount which is computed by applying the percentage of the recipient's participation in the cost of the original grant program to the current fair market value of the property, plus any reasonable shipping or interim storage costs incurred.

(C) If the grantee is instructed to otherwise dispose of the property, the grantee shall be reimbursed by AID for such costs incurred in its disposition.

(e) Expendable Personal Property:

(1) Expendable personal property means all tangible personal property other than nonexpendable property.

(2) The grantee shall use the expendable personal property for the authorized purpose of the grant program, as long as it is needed.

(3) If there is a residual inventory of such property exceeding \$1,000 in total aggregate fair market value, upon termination or completion of the grant and the property is not needed for any other federally sponsored program, the grantee shall retain the property for use on nonfederally sponsored activities, or sell it, but must in either case, compensate the Federal Government for its share. The amount of compensation shall be computed in the same manner as nonexpendable personal property.

(f) The grantee's property management standards for nonexpendable personal property shall include the following procedural requirements:

(1) Property records shall be maintained accurately and shall include:

- (i) A description of the property.
- (ii) Manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number.
- (iii) Source of the property, including grant or other agreement number.
- (iv) Whether title vests in the grantee or the Federal Government.
- (v) Acquisition date and cost.
- (vi) Percentage (at the end of the budget year) of Federal participation in the cost of the project or program for which the property was acquired.
- (vii) Location, use, and condition of the property and the date the information was reported.
- (viii) Unit acquisition cost.
- (ix) Ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where the grantee compensates AID for its share.

(2) A physical inventory of property shall be taken and the results reconciled with the property records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the causes of the difference. The grantee shall in connection with the inventory, verify the existence, current utilization, and continued need for the property. The inventory listing shall be retained as documentation in accordance with the standard provision of this grant entitled "Accounting, Audit, and Records."

(3) A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft of nonexpendable property shall be investigated and fully documented.

(4) Adequate maintenance procedures shall be implemented to keep the property in good condition.

(5) Where the grantee is authorized or required to sell the property, proper sales procedures shall be established which would provide for competition to the extent practicable and result in the highest possible return.

**21. TITLE TO AND CARE OF PROPERTY (U.S. GOVERNMENT TITLE) (NOVEMBER 1985)**

(This provision is applicable when title to property is vested in the U.S. Government.)

(a) Property, title to which vests in the Government under this grant, whether furnished by the Government or acquired by the grantee, is subject to this provision and is hereinafter collectively referred to as "Government property." Title to Government property shall not be affected by the incorporation or attachment thereof to any property not owned by the Government, nor shall such Government property, or any part thereof, be or become a fixture or lose its identity as personal property by reason of affixation to any real property.

(b) Use of Government Property: Government property shall, unless otherwise provided herein or approved by the grant officer, be used only for the performance of this grant.

(c) Control, Maintenance and Repair of Government Property:

(1) The grantee shall maintain and administer in accordance with sound business practice a program for the maintenance, repair, protection, and preservation of Government property so as to assure its full availability and usefulness for the performance of this grant. The grantee shall take all reasonable steps to comply with all appropriate directions or instructions which the grant officer may prescribe as reasonably necessary for the protection of the Government property.

(2) The grantee shall submit, for review and written approval of the grant officer, a records system for property control and a program for orderly maintenance of Government property; however, if the grantee's property control and maintenance system has been reviewed and approved by another Federal department or agency pursuant to Attachment H of OMB Circular No. A-110, the grantee shall furnish the grant officer proof of such approval in lieu of another approval submission.

(3) Property Control: The property control system shall include but not be limited to the following:

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(i) Identification of each item of Government property acquired or furnished under the grant by a serially controlled identification number and by description of item. Each item must be clearly marked "Property of U.S. Government."

(ii) The price of each item of property acquired or furnished under this grant.

(iii) The location of each item of property acquired or furnished under this grant.

(iv) A record of any usable components which are permanently removed from items of Government property as a result of modification or otherwise.

(v) A record of disposition of each item acquired or furnished under the grant.

(vi) Date of order and receipt of any item acquired or furnished under the grant.

(vii) The official property control records shall be kept in such condition that at any stage of completion of the work under this grant, the status of property acquired or furnished under this grant may be readily ascertained. A report of current status of all items of property acquired or furnished under the grant shall be submitted yearly concurrently with the annual report.

(4) Maintenance Program: The grantee's maintenance program shall be consistent with sound business practice, the terms of the grant, and provide for:

(i) disclosure of need for and the performance of preventive maintenance,

(ii) disclosure and reporting of need for capital type rehabilitation, and

(iii) recording of work accomplished under the program:

(A) Preventive maintenance - Preventive maintenance is maintenance generally performed on a regularly scheduled basis to prevent the occurrence of defects and to detect and correct minor defects before they result in serious consequences.

(B) Records of maintenance - The grantee's maintenance program shall provide for records sufficient to disclose the maintenance actions performed and deficiencies discovered as a result of inspections.

(C) A report of status of maintenance of Government property shall be submitted annually concurrently with the annual report.

(d) Risk of Loss:

(1) The grantee shall not be liable for any loss of or damage to the Government property, or for expenses incidental to such loss or damage except that the grantee shall be responsible for any such loss or damage (including expenses incidental thereto):

(i) Which results from willful misconduct or lack of good faith on the part of any of the grantee's directors or officers, or on the part of any of its managers, superintendents, or other equivalent representatives, who have supervision or direction of all or substantially all of the grantee's business, or all or substantially all of the grantee's operation at any one plant, laboratory, or separate location in which this grant is being performed;

(ii) Which results from a failure on the part of the grantee, due to the willful misconduct or lack of good faith on the part of any of its directors, officers, or other representatives mentioned in (i) above:

(A) to maintain and administer, in accordance with sound business practice, the program for maintenance, repair, protection, and preservation of Government property as required by (i) above, or

(B) to take all reasonable steps to comply with any appropriate written directions of the grant officer under (c) above;

(iii) For which the grantee is otherwise responsible under the express terms designated in the schedule of this grant;

(iv) Which results from a risk expressly required to be insured under some other provision of this grant, but only to the extent of the insurance so required to be procured and maintained, or to the extent of insurance actually procured and maintained, whichever is greater; or

(v) Which results from a risk which is in fact covered by insurance or for which the grantee is otherwise reimbursed, but only to the extent of such insurance or reimbursement;

(vi) Provided, that, if more than one of the above exceptions shall be applicable in any case, the grantee's liability under any one exception shall not be limited by any other exception.

(2) The grantee shall not be reimbursed for, and shall not include as an item of overhead, the cost of insurance, or any provision for a reserve, covering the risk of loss of or damage to the Government property, except to the extent that the Government may have required the grantee to carry such insurance under any other provision of this grant.

(3) Upon the happening of loss or destruction of or damage to the Government property, the grantee shall notify the grant officer thereof, shall take all reasonable steps to protect the Government property from further damage, separate the damaged and undamaged Government property, put all the Government property in the best possible order, and furnish to the grant officer a statement of:

(i) The lost, destroyed, or damaged Government property;

(ii) The time and origin of the loss, destruction, or damage;

(iii) All known interests in commingled property of which the Government property is a part; and

(iv) The insurance, if any, covering any part of or interest in such commingled property.

(4) The grantee shall make repairs and renovations of the damaged Government property or take such other action as the grant officer directs.

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(5) In the event the grantee is indemnified, reimbursed, or otherwise compensated for any loss or destruction of or damage to the Government property, it shall use the proceeds to repair, renovate or replace the Government property involved, or shall credit such proceeds against the cost of the work covered by the grant, or shall otherwise reimburse the Government, as directed by the grant officer. The grantee shall do nothing to prejudice the Government's right to recover against third parties for any such loss, destruction, or damage, and upon the request of the grant officer, shall, at the Government's expense, furnish to the Government all reasonable assistance and cooperation (including assistance in the prosecution of suits and the execution of instruments or assignments in favor of the Government) in obtaining recovery.

(c) Access: The Government, and any persons designated by it, shall at all reasonable times have access to the premises wherein any Government property is located, for the purpose of inspecting the Government property.

(f) Final Accounting and Disposition of Government Property: Upon completion of this grant, or at such earlier date as may be fixed by the grant officer, the grantee shall submit, in a form acceptable to the grant officer, inventory schedules covering all items of Government property not consumed in the performance of this grant or not theretofore delivered to the Government, and shall prepare, deliver, or make such other disposition of the Government property as may be directed or authorized by the grant officer.

(g) Communications: All communications issued pursuant to this provision shall be in writing.

22. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)

(This provision is applicable to property titled in the name of the cooperating country or such public or private agency as the cooperating country government may designate.)

(a) Except as modified by the schedule of this grant, title to all equipment, materials and supplies, the cost of which is reimbursable to the grantee by AID or by the cooperating country, shall at all times be in the name of the cooperating country or such public or private agency as the cooperating country may designate, unless title to specified types or classes of equipment is reserved to AID under provisions set forth in the schedule of this grant. All such property shall be under the custody and control of grantee until the owner of title directs otherwise or completion of work under this grant or its termination, at which time custody and control shall be turned over to the owner of title or disposed of in accordance with its instructions. All performance guarantees and warranties obtained from suppliers shall be taken in the name of the title owner.

(b) The grantee shall maintain and administer in accordance with sound business practice a program for the maintenance, repair, protection, and preservation of Government property so as to assure its full availability and usefulness for the performance of this grant. The grantee shall take all reasonable steps to comply with all appropriate directions or instructions which the grant officer may prescribe as reasonably necessary for the protection of the Government property.

(c) The grantee shall prepare and establish a program, to be approved by the appropriate AID Mission, for the receipt, use, maintenance, protection, custody and care of equipment, materials and supplies for which it has custodial responsibility, including the establishment of reasonable controls to enforce such program. The grantee shall be guided by the following requirements:

(1) Property Control: The property control system shall include but not be limited to the following:

(i) Identification of each item of cooperating country property acquired or furnished under the grant by a serially controlled identification number and by description of item. Each item must be clearly marked "Property of (insert name of cooperating country)."

(ii) The price of each item of property acquired or furnished under this grant.

(iii) The location of each item of property acquired or furnished under this grant.

(iv) A record of any usable components which are permanently removed from items of cooperating country property as a result of modification or otherwise.

(v) A record of disposition of each item acquired or furnished under the grant.

(vi) Date of order and receipt of any item acquired or furnished under the grant.

(vii) The official property control records shall be kept in such condition that at any stage of completion of the work under this grant, the status of property acquired or furnished under this grant may be readily ascertained. A report of current status of all items of property acquired or furnished under the grant shall be submitted yearly concurrently with the annual report.

(2) Maintenance Program: The grantee's maintenance program shall be consistent with sound business practice, the terms of the grant, and provide for:

(i) disclosure of need for and the performance of preventive maintenance,

(ii) disclosure and reporting of need for capital type rehabilitation, and

(iii) recording of work accomplished under the program:

(A) Preventive maintenance - Preventive maintenance is maintenance generally performed on a regularly scheduled basis to prevent the occurrence of defects and to detect and correct minor defects before they result in serious consequences.

(B) Records of maintenance - The grantee's maintenance program shall provide for records sufficient to disclose the maintenance actions performed and deficiencies discovered as a result of inspections.

(C) A report of status of maintenance of cooperating country property shall be submitted annually concurrently with the annual report.

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(d) Risk of Loss:

(1) The grantee shall not be liable for any loss of or damage to the cooperating country property, or for expenses incidental to such loss or damage except that the grantee shall be responsible for any such loss or damage (including expenses incidental thereto):

(i) Which results from willful misconduct or lack of good faith on the part of any of the grantee's directors or officers, or on the part of any of its managers, superintendents, or other equivalent representatives, who have supervision or direction of all or substantially all of the grantee's business, or all or substantially all of the grantee's operation at any one plant, laboratory, or separate location in which this grant is being performed;

(ii) Which results from a failure on the part of the grantee, due to the willful misconduct or lack of good faith on the part of any of its directors, officers, or other representatives mentioned in (i) above:

(A) to maintain and administer, in accordance with sound business practice, the program for maintenance, repair, protection, and preservation of cooperating country property as required by (i) above, or

(B) to take all reasonable steps to comply with any appropriate written directions of the grant officer under (b) above;

(iii) For which the grantee is otherwise responsible under the express terms designated in the schedule of this grant;

(iv) Which results from a risk expressly required to be insured under some other provision of this grant, but only to the extent of the insurance so required to be procured and maintained, or to the extent of insurance actually procured and maintained, whichever is greater; or

(v) Which results from a risk which is in fact covered by insurance or for which the grantee is otherwise reimbursed, but only to the extent of such insurance or reimbursement;

(vi) Provided, that, if more than one of the above exceptions shall be applicable in any case, the grantee's liability under any one exception shall not be limited by any other exception.

(2) The grantee shall not be reimbursed for, and shall not include as an item of overhead, the cost of insurance, or any provision for a reserve, covering the risk of loss of or damage to the cooperating country property, except to the extent that AID may have required the grantee to carry such insurance under any other provision of this grant.

(3) Upon the happening of loss or destruction of or damage to the cooperating country property, the grantee shall notify the grant officer thereof, shall take all reasonable steps to protect the cooperating country property from further damage, separate the damaged and undamaged cooperating country property, put all the cooperating country property in the best possible order, and furnish to the grant officer a statement of:

(i) The lost, destroyed, or damaged cooperating country property;

(ii) The time and origin of the loss, destruction, or damage;

(iii) All known interests in commingled property of which the cooperating country property is a part; and

(iv) The insurance, if any, covering any part of or interest in such commingled property.

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(4) The grantee shall make repairs and renovations of the damaged cooperating country property or take such other action as the grant officer directs.

(5) In the event the grantee is indemnified, reimbursed, or otherwise compensated for any loss or destruction of or damage to the cooperating country property, it shall use the proceeds to repair, renovate or replace the cooperating country property involved, or shall credit such proceeds against the cost of the work covered by the grant, or shall otherwise reimburse AID, as directed by the grant officer. The grantee shall do nothing to prejudice AID's right to recover against third parties for any such loss, destruction, or damage, and upon the request of the grant officer, shall, at the Government's expense, furnish to AID all reasonable assistance and cooperation (including assistance in the prosecution of suits and the execution of instruments or assignments in favor of the Government) in obtaining recovery.

(e) Access: AID, and any persons designated by it, shall at all reasonable times have access to the premises wherein any cooperating country property is located, for the purpose of inspecting the cooperating country property.

(f) Final Accounting and Disposition of Cooperating Country Property: Within 90 days after completion of this grant, or at such other date as may be fixed by the grant officer, the grantee shall submit to the grant officer an inventory schedule covering all items of equipment, materials and supplies under the grantee's custody, title to which is in the cooperating country or public or private agency designated by the cooperating country, which have not been consumed in the performance of this grant. The grantee shall also indicate what disposition has been made of such property.

(g) Communications: All communications issued pursuant to this provision shall be in writing.

23. COST SHARING (MATCHING) (NOVEMBER 1985)

(This provision is applicable when the recipient is required to cost share or provide a matching share.)

(a) For each year (or funding period) under this grant, the grantee agrees to expend from non-Federal funds an amount at least equal to the percentage of the total expenditures under this grant specified in the schedule of the grant. The schedule of this grant may also contain restrictions on the application of cost sharing (matching) funds. The schedule takes precedence over the terms of this provision.

(b) Eligibility of non-Federal funds applied to satisfy cost sharing (matching) requirements under this grant are set forth below:

(1) Charges incurred by the grantee as project costs. Not all charges require cash outlays by the grantee during the project period; examples are depreciation and use charges for buildings and equipment.

(2) Project costs financed with cash contributed or donated to the grantee by other non-Federal public agencies (may include public international organizations or foreign governments) and institutions, and private organizations and individuals, and

(3) Project costs represented by services and real and personal property, or use thereof, donated by other non-Federal public agencies and institutions, and private organizations and individuals.

(c) All contributions, both cash and in-kind, shall be accepted as part of the grantee's cost sharing (matching) when such contributions meet all of the following criteria--

(1) Are verifiable from the grantee's records;

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- (2) Are not included as contributions for any other Federally assisted program;
- (3) Are necessary and reasonable for proper and efficient accomplishment of project objectives;
- (4) Are types of charges that would be allowable under the applicable Federal cost principles;
- (5) Are not paid by the Federal Government under another grant or agreement (unless the grant or agreement is authorized by Federal law to be used for cost sharing or matching);
- (6) Are provided for in the approved budget when required by AID; and
- (7) Conform to other provisions of this paragraph.

(d) Values for grantee in-kind contributions will be established in accordance with the applicable Federal cost principles.

(e) Specific procedures for the grantee in establishing the value of in-kind contributions from non-Federal third parties are set forth below:

(1) Valuation of volunteer services: Volunteer services may be furnished by professional and technical personnel, consultants, and other skilled and unskilled labor. Volunteer services may be counted as cost sharing or matching if the service is an integral and necessary part of an approved program:

(i) Rates for volunteer services: Rates for volunteers should be consistent with those paid for similar work in the grantee's organization. In those instances in which the required skills are not found in the grantee's organization, rates should be consistent with those paid for similar work in the labor market in which the grantee competes for the kind of services involved.

(ii) Volunteers employed by other organizations: When an employer other than the grantee furnishes the services of an employee, these services shall be valued at the employee's regular rate of pay (exclusive of fringe benefits and overhead costs) provided these services are of the same skill for which the employee is normally paid.

(2) Valuation of donated expendable personal property: Donated expendable personal property includes such items as expendable equipment, office supplies, laboratory supplies or workshop and classroom supplies. Value assessed to expendable personal property included in the cost share (match) should be reasonable and should not exceed the market value of the property at the time of the donation.

(3) Valuation of donated nonexpendable personal property, buildings, and land or use thereof:

(i) The method used for charging cost sharing or matching for donated nonexpendable personal property, buildings, and land may differ according to the purpose of the grant as follows:

(A) If the purpose of the grant is to assist the recipient in the acquisition of equipment, buildings or land, the total value of the donated property may be claimed as cost sharing or matching.

(B) If the purpose of the grant is to support activities that require the use of equipment, buildings, or land; depreciation or use charges for equipment and buildings may be made. The full value of equipment or other capital assets and fair rental charges for land may be allowed provided that AID has approved the charges.

(ii) The value of donated property will be determined in accordance with the usual accounting policies of the grantee with the following qualifications:

(A) Land and buildings: The value of donated land and buildings may not exceed its fair market value, at the time of donation to the grantee as established by an independent appraiser; and certified by a responsible official of the grantee.

(B) Nonexpendable personal property: The value of donated nonexpendable personal property shall not exceed the fair market value of equipment and property of the same age and condition at the time of donation.

(C) Use of space: The value of donated space shall not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately owned building in the same locality.

(D) Borrowed equipment: The value of borrowed equipment shall not exceed its fair rental value.

(f) The following requirements pertain to the grantee's supporting records for in-kind contributions from non-Federal third parties:

(1) Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the grantee for its employees.

(2) The basis for determining the valuation for personal services, material, equipment, buildings and land must be documented.

(g) Individual expenditures do not have to be shared or matched provided that the total expenditures incurred during the year (or funding period) are shared or matched in accordance with the agreed upon percentage set forth in the schedule of the grant.

(h) If at the end of any year (or funding period) hereunder, the grantee has expended an amount of non-Federal funds less than the agreed upon percentage of total expenditures, the difference may be applied to reduce the amount of AID funding the following year (or funding period), or, if this grant has expired or been terminated, the difference shall be refunded to AID.

(i) Failure to meet the cost sharing (matching) requirements set forth in paragraph (a) above shall be considered sufficient reasons for termination of this grant for cause in accordance with paragraph (a) entitled "For Cause" of the standard provision of this grant entitled "Termination and Suspension".

(j) The restrictions on the use of AID grant funds set forth in the standard provisions of this grant are applicable to expenditures incurred with AID funds provided under this grant. The grantee will account for the AID funds in accordance with the standard provision of this grant entitled "Accounting, Audit, and Records."

(k) Notwithstanding paragraph (b) of the standard provision of this grant entitled "Refunds", the parties agree that in the event of any disallowance of expenditures from AID grant funds provided hereunder, the grantee may substitute expenditures made with funds provided from non-Federal sources provided they are otherwise eligible in accordance with paragraph (b) of this provision.

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24. USE OF POUCH FACILITIES (NOVEMBER 1985)

(This provision is applicable when activities under the grant will take place outside of the United States.)

(a) Use of diplomatic pouch is controlled by the Department of State. The Department of State has authorized the use of pouch facilities for AID grantees and their employees as a general policy, as detailed in items (1) through (6) below. However, the final decision regarding use of pouch facilities rest with the Embassy or AID Mission. In consideration of the use of pouch facilities, the grantee and its employees agree to indemnify and hold harmless, the Department of State and AID for loss or damage occurring in pouch transmission:

(1) Grantees and their employees are authorized use of the pouch for transmission and receipt of up to a maximum of two pounds per shipment of correspondence and documents needed in the administration of assistance programs.

(2) U.S. citizen employees are authorized use of the pouch for personal mail up to a maximum of one pound per shipment (but see (a)(3) below).

(3) Merchandise, parcels, magazines, or newspapers are not considered to be personal mail for purposes of this standard provision and are not authorized to be sent or received by pouch.

(4) Official and personal mail pursuant to (a)(1) and (2) above sent by pouch should be addressed as follows:

Name of individual or organization (followed by  
letter symbol "G")  
Name of post (USAID/\_\_\_\_\_)  
Agency for International Development  
Washington, D.C. 20523

(5) Mail sent via the diplomatic pouch may not be in violation of U.S. Postal laws and may not contain material ineligible for pouch transmission.

(6) AID grantee personnel are not authorized use of military postal facilities (APO/FPO). This is an Adjutant General's decision based on existing laws and regulations governing military postal facilities and is being enforced worldwide. Posts having access to APO/FPO facilities and using such for diplomatic pouch dispatch, may, however, accept the grantee's official and personal mail for pouch, provided of course, adequate postage is affixed.

(b) The grantee shall be responsible for advising its employees of this authorization, these guidelines, and limitations on use of pouch facilities.

(c) Specific additional guidance on grantee use of pouch facilities in accordance with this standard provision is available from the Post Communication Center at the Embassy or AID Mission.

25. CONVERSION OF UNITED STATES DOLLARS TO LOCAL CURRENCY (NOVEMBER 1985)

(This provision is applicable when activities under the grant will take place outside of the United States.)

Upon arrival in the Cooperating Country, and from time to time as appropriate, the grantee's chief of party shall consult with the Mission Director who shall provide, in writing, the procedure the grantee and its employees shall follow in the conversion of United States dollars to local currency. This may include, but is not limited to, the conversion of currency through the cognizant United States Disbursing Officer or Mission Controller, as appropriate.

97

AID 1350.1 (10-79)

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY AGENCY FOR INTERNATIONAL DEVELOPMENT

Worldwide

Page 1 of 1

PIO/T

PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES

PIO/T No. 9261506

Original or Amendment No.

Project/Activity No. and Title 936-517 The Women's and Infants' Nutrition (WIN): A Family Focus Project

Doc. No. 0007

DISTRIBUTION

6. Approval Symbol 72-1191021.8

8. Agency Symbol and Change DDHA-89-13600-1111(948-36-099-00-

7. Obligation Status

Administrative Reservation Implementing Document

9. PIOT Assistance Completion Date 20-91 (Mo./Day/Year) 9/30/94

8. Authorized Agent

SER/OP/W/PA

10. This PIO/T is in full compliance with PRO/AG

AP signed 7/13/89

11a. Type of Action and Governing AID Handbook

AID Contract (HG 14) PASA/SSA (HG 12) AID Grant (HG 13) Other

Cooperative Agreement

11b. Compliance/PASA/SSA Reference Number (if this is an Amendment) TBD

12. Estimated Financing (A detailed budget in words of column (2) is attached as attachment no. 1)

Maximum AID Financing	A. Dollars	(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
					500,000
	B. U.S. Dollar Local Currency				

13. Mission Reference

14a. Instructions to Authorized Agent

Request that M/SER/OP negotiate a five-year cooperative agreement with the Wellstart San Diego Lactation Program (Wellstart). The funds provided in this PIO/T provide incremental funding toward the total estimated cost of \$12,614,654.00.

The scope of work budget and justification for non competitive procurement are attached:

Congressional notification is in process. Funds cannot be obligated until after 15 day waiting period.

14b. Address of Voucher Issuing Office

Agency for International Development FM/PAFD, SA-2 Washington, D. C. 20523

15. Clearances include typed name, office symbol, telephone number and date for all clearances.

A. The project officer certifies that the qualifications in the statement of work are technically adequate

Phone No. 875-4035

B. The statement of work lies within the purview of the existing and approved agency programs

S&T/N, NPSchlossman NPS by jn

Date 6/12/89

S&T/N, NWJerome

6/12/89

C. Funds for the various activities are adequate

S&T/N, BColwell by jn

Date 6/22/89

D. Funds for the various activities are adequate

S&T/PO, LThompson by jn

Date 6/29/89

FM/PAFD, Wraig by jn 7/19/89

16. For the cooperating country: The terms and conditions on form herein are hereby agreed to

17. For the Agency for International Development

Elizabeth P. Roche

Signature \_\_\_\_\_ Date \_\_\_\_\_

Signature Elizabeth P. Roche Date 7/17/89

Title \_\_\_\_\_

Title: Chief S&T/PO/PR

UNITED STATES INTERNATIONAL  
DEVELOPMENT COOPERATION AGENCY  
AGENCY FOR  
INTERNATIONAL DEVELOPMENT

1. Cooperating Country  
**Worldwide**

2. PIOT No. **9361595**

3.  Original or  
Amendment No. \_\_\_\_\_

4. Project/Activity No. and Title **936-5117  
Women's and Infants' Nutrition**

Doc. No. 0003

PIOT  
**ENTERED**

PROJECT IMPLEMENTATION  
ORDER/TECHNICAL  
SERVICES

DISTRIBUTION

M/EM/PAFD

POSTED

*Handwritten notes and signatures in the distribution column.*

5. Appropriation Symbol  
**72-1191021.7**

6. Allotment Symbol and Charge **(947-36-099-00  
DDCA-89-13600-KG11 -20-91)**

7. Obligation Status  
 Administrative Reservation  Implementing Document

8. Project Assistance Completion Date  
(Mo., Day, Yr.) **9/30/94**

9. Authorized Agent  
**SER/OP/W/FA**

10. This PIOT is in full conformance with PRO/AG  
PAF signed SAA/S&T Date **7/13/89**

11a. Type of Action and Governing AID Handbook  
 AID Contract (HB 14)  PASA/RSSA (HB 12)  AID Grant (HB 13)  Other  
**Cooperative Agreement**

11b. Contract/Grant/PASA/RSSA  
Reference Number (if this is an  
Amendment) .  
**TBD**

12. Estimated Financing (A detailed budget in support of column (2) is attached as attachment no. \_\_\_\_\_)

Maximum AID Financing	A. Dollars	(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
	B. U.S. Owned Local Currency				
			27,886		27,886

13. Mission  
References

14a. Instructions to Authorized Agent

SER/OP is requested to add these funds to the new cooperative agreement with Wellstart San Diego Lactation Program. These funds will provide incremental funding toward the total estimated cost of the agreement.

All other terms and conditions remain unchanged.

14b. Address of Voucher Paying Office

Agency for International Development  
FM/PAFD, Sa-2  
Washington, D. C. 20523

16. Clearances—Include typed name, office symbol, telephone number and date for all clearances.

A. The project officer certifies that the specifications in the statement of work are technically adequate

Phone No.  
**875-4035**

B. The statement of work lies within the purview of the initiating and approved agency programs

S&T/N: NSchlossman *NS*

Date **9/19/89**

S&T/N, NWJerome *bjc for news*

Date **9/19/89**

C. \_\_\_\_\_

Date

D. Funds for the services requested available

S&T/N, BColwell *bjc*

Date **9/19/89**

PFM/EM/AD:GCraig *re 9/25/89*

E. \_\_\_\_\_

Date

S&T/PO, LThompson *LT*

Date **9/20/89**

16. For the cooperating country: The terms and conditions set forth herein are hereby agreed to

17. For the Agency for International Development

Elizabeth P. Roche

Signature \_\_\_\_\_

Date \_\_\_\_\_

Signature *Elizabeth P. Roche* Date **9/21/89**

Title \_\_\_\_\_

Title Chief, S&T/PO/PR

PIOT PROJECT IMPLEMENTATION  
ORDER TECHNICAL  
SERVICES

**ENTERED**

DISTRIBUTION

5. Appropriation Symbol  
**72-1191021.8**

6. Allotment Symbol and Charge  
**DDHA-89-13600-KG11(948-36-099-00-20-91)**

7. Obligation Status  
 Administrative Reservation  Implementing Document

8. Project Assistance Completion Date  
(Mo., Day, Yr.) **9/30/94**

9. Authorized Agent  
**SER/OP/W/FA**

10. This PIOT is in full conformance with PRO/AG  
PAF signed **SAA/S&T** Date **7/13/89**

11a. Type of Action and Governing AID Handbook  
 AID Contract (HB 14)  PASA/ASSA (HB 12)  AID Grant (HB 13)  Other  
**Cooperative Agreement**

11b. Contract/Grant/PASA/ASSA  
Reference Number (if this is an  
Amendment).  
**TBD**

12. Estimated Financing (A detailed budget in support of column (2) is attached as attachment no. \_\_\_\_\_)

Maximum AID Financing	A. Dollars	(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
		B. U.S. Owned Local Currency	500,000	6,033	

13. Mission  
References

14a. Instructions to Authorized Agent

SER/OP is requested to add these funds to the new cooperative agreement with Wellstart San Diego Lactation Program. These funds will provide incremental funding toward the total estimated cost of the agreement.

All other terms and conditions remain unchanged.

14b. Address of Voucher Paying Office

Agency for International Development  
FM/PAFD, SA-2  
Washington, D. C. 20523

15. Clearances—Include typed name, office symbol, telephone number and date for all clearances.

A. The project officer certifies that the specifications in the statement of work are technically adequate  
S&T/N: NSchlossman **NPS**

Phone No.  
**875-4035**  
Date  
**9/19/89**

B. The statement of work lies within the purview of the initiating and approved agency programs

S&T/N, NWJerome **NWS** Date **9/19/89**

C. S&T/N, BColwell **BC**

Date  
**9/19/89**

D. Funds for the services requested are available

PFM/FM/AD:GCraig **MC** **9/25/89**

E. S&T/PO, LThompson **LT**

Date  
**9/20/89**

16. For the cooperating country: The terms and conditions set forth herein are hereby agreed to

Signature \_\_\_\_\_ Date \_\_\_\_\_

Title \_\_\_\_\_

17. For the Agency for International Development

Elizabeth P. Roche

Signature **Elizabeth P. Roche** Date **9/21/89**

Title Chief, S&T/PO/PR

11/25/89

FOSTER 9/25/89

FUNDS RESERVED BY  
*Robert Craig*