

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D.C. 20523

698-0484

PDFCIC 842

SEP 28 1990

Mr. Robert D. Havener, President  
Winrock International Institute for  
Agricultural Development  
Petit Jean Mountain  
Morrilton, Arkansas 72110

Reference: Grant No. AFR-0484-G-SS-0204-00

Dear Mr. Havener:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, and the section entitled "Sub-Saharan Africa, Development Assistance" of the Foreign Operations, Export Financing and Related Programs Appropriations Act of 1990, the Agency for International Development (after referred to as "A.I.D.") hereby grants to the Winrock International Institute for Agricultural Development (referred to as "Winrock International" or "Grantee"), the sum of three hundred ten thousand United States Dollars (U.S.\$310,000) ("Grant"), to be used in support of the research, publications, and dissemination of findings by African social scientists under as described in the schedule which is attached to this Grant.

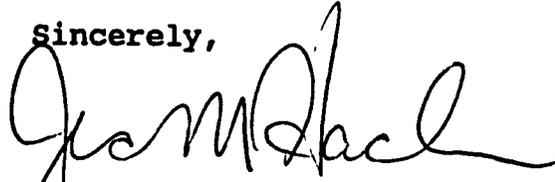
This Grant is effective and obligation is made as of the date of this letter and shall apply to expenditures made by the Grantee in furtherance of the grant objectives during the period beginning with the effective date and ending September 30, 1993.

This Grant is made to the Grantee on condition that the funds will be administered in accordance with the terms and conditions as set forth in Attachment 1, (the "Schedule") and Attachment 2, ("Interim Standard Provisions") which have been agreed to by your organization.

The A.I.D. technical office responsible for monitoring this Grant is the Africa Bureau, Office of Technical Resources, Agriculture and Natural Resources Division, Agency for International Development, Washington, D.C. 20523.

Please sign the original and all enclosed copies of this Grant Letter to acknowledge your receipt of the Grant and return the original and all but one copy to me.

Sincerely,



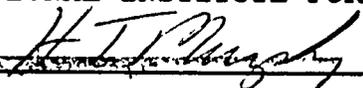
Jean M. Hacken  
Contracting Officer  
Bureau for Africa

**Attachments:**

- 1. Schedule and Purpose of Grant
- 2. Program Description
- 3. Special Provisions
- 4. Mandatory Standard Provisions for U.S., Nongovernmental Grantees

**ACKNOWLEDGED:**

WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT

By: 

Title: Hugh T. Murphy, Vice President

Date: 10/15/90

**ATTACHMENT 1**

**Schedule and Purpose of Grant**

**A. Purpose of Grant**

The purpose of this Grant is to support the development of the Rural Social Science Research Capacity Program, as more specifically described in Attachment 2 to this Grant entitled "Program Description."

**B. Period of Grant**

This Grant is effective as of the date of this Grant Letter. The funds obligated for this Grant shall remain available until September 30, 1993, or until such other date as A.I.D. agrees to in writing.

**C. Amount of Grant and Payment**

1. A.I.D. hereby obligates the amount of \$310,000 for purposes of this Grant.

2. Payment shall be made to the Grantee in accordance with the Federal Letter of Credit procedures set forth in Attachment 3 (Special Provisions).

**D. Financial Plan**

<u>Item</u>	<u>\$ Amount</u>
1. Research, Publications, and Dissemination	
a. Research Grants	120,770
b. Research Publications and Dissemination	41,267
c. Advisory Committee	7,566
	-----
Subtotal	169,603
2. Program Management and Support Services	
a. Salaries	39,462
b. Fringe Benefits	13,722
c. Travel, Transportation, and Per Diem	17,312
d. Allowances	4,952
e. Evaluation/Audit	10,000
f. Other Direct Costs	15,819
	-----
Subtotal	101,267

<u>Item</u>	<u>\$ Amount</u>
Total Direct Costs	270,870
3. Indirect Costs	39,130
	-----
Total Costs	\$310,000

**E. Reporting and Evaluation**

**1. Financial Reporting Requirements (Source: OMB Circular A-110, Attachment G)**

**a. Financial Status Report**

(1) Recipients are required to use the standardized Financial Status Report, SF 269, to report the status of funds for all nonconstruction programs.

(2) The report shall be on an accrual basis.

(3) The report shall be required quarterly only. A final report shall be required at the completion of the grant.

(4) Recipients shall submit the Financial Status Report (original and two copies) no later than 30 days after the end of each specified reporting period for quarterly, and 90 days for final reports. The specified report period, at the recipient's election, may be either its fiscal year, or the Government's fiscal year, or the yearly period commencing and ending on the last day of the month of the grant's anniversary.

**b. Federal Cash Transactions Report**

(1) When funds are advanced to recipients through letters of credit or periodic Treasury checks, each recipient shall submit a Federal Cash Transactions Report and its continuation form (SF 272 and 272A) A.I.D. will use this report to monitor cash advanced to recipients and to obtain disbursement information from the recipient.

(2) The recipients shall submit an original and one copy of the Federal Cash Transactions Report within 15 working days following the end of each quarter.

2. Monitoring and Reporting Program Performance (Source: OMB Circular A-110, Attachment H)

a. The recipient shall monitor the performance under the grant and, where appropriate, ensure that time schedules are being met, projected work units by time periods are being accomplished, and other performance goals are being achieved.

b. The recipient shall submit a performance report (technical report) which briefly presents the following information for each program, function, or activity involved:

(1) A comparison of actual accomplishments with the goals established for the period, the findings of the investigator, or both.

(2) Reasons why goals were not met.

(3) Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

c. Performance or Technical Reports are to be submitted covering the same period and frequency as the financial reporting.

d. Between the required 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:

(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.

(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.

e. If any performance review conducted by the recipient discloses the need for change in the budget estimates, the recipient shall submit a request for budget revision.

f. The A.I.D. Project Officer shall make site visits as frequently as practicable to:

- (1) Review program accomplishments and management controls systems; and
- (2) Provide such technical assistance as may be required.

F. Indirect Cost Rate

1. Pursuant to the Optional Standard Provision of this Grant entitled "Negotiated Indirect Cost Rates-Provisional," the allowable indirect costs under this Grant shall be obtained by applying the provisional rates listed below to the base shown and for the period described.

2. Following the expiration of the period listed for the provisional rates, and pending the establishment of final indirect cost rates, the provisional rates below shall govern, in accordance with the Optional Standard Provision of this Grant entitled "Negotiated Indirect Cost Rates-Provisional."

<u>Type</u>	<u>Rate</u>	<u>Base</u>	<u>Period</u>
Provisional	<del>12.625</del> 14.4	See 1/ JRA	1/1/89 until amended
1/ <u>Base of Application:</u> Total direct cost but excluding Subcontracts, Subgrants, and Equipment.			

3. Not later than 90 days after the close of the Grantee's fiscal year, the Grantee shall submit to the cognizant government audit agency, proposed final indirect cost rates and supporting documentation.

G. Authorized Geographic Code

The authorized geographic code for procurement of goods and services is 935 (free world including cooperating country).

FISCAL DATA

Project Number	698-0484
Appropriation	72-1101014
Budget Plan Code	GSSA-90-31698-KG-12
Allowance	014-61-698-00-69-01
Grant Number	AFR-0484-G-00-0204-00
Reservation Number	06110204
Amount	\$310,000
Pay Office	Agency for International Development Office of Financial Management PFM/FM/CMPD Room 703, SA-2 Washington, D.C. 20523-0209

## Attachment 2

### Program Description

This project will establish a network of rural social science researchers in Africa. The network will offer comprehensive support to researchers through: (a) the funding of grants for capable young professionals in selected theme areas (e.g. producer/consumer subsidies and taxes; national food security objectives; environment and resource conservation; role of the private sector in agricultural and rural development); (b) regional network workshops and peer reviews; (c) publication and dissemination of research to peers and policy-makers; (d) publication of newsletters; (e) technical support to participants; and (f) the promotion of linkages among researchers and policy-makers.

**Research Networks.** During 1990 and 1991, Winrock expects to award and administer 60 research grants under this program. Each grant will consist of about \$5,000. Additional funding -- averaging about \$1,000 per researcher -- will cover costs associated with research (e.g. travel and participation in workshops.) The 60 recipients will be divided into two groups, which will start and complete the project cycle several months apart.

Selection for the two groups will begin with two calls for proposals. The calls will be distributed among African agricultural and rural development institutions. Previously, the themes have been broadly defined, making it difficult to organize networks around topics. Under this project, future calls for proposals will limit and specifically define themes to ensure that participant research is complementary. Each call for proposals will focus on one research theme, selected from recommendations submitted by advisory committees in East and West Africa, and consistent with A.I.D.'s objectives found in the Development Fund for Africa's Action Plan.

Members of the regional advisory committees and Winrock program staff will screen the proposals, selecting those with the greatest potential to produce useful results. Researchers with the best proposals will be invited to regional proposal review workshops, where participants will review their peers' proposals and resource people will discuss criteria for evaluating proposals. Participants will be asked to revise their proposals after the workshops. Winrock program staff will award research grants based on the revised proposals. The allocation of awards among regions will depend upon the number and quality of proposals submitted from various regions. To the extent possible, awards will be divided equitably among regions.

About 30 research grants will be awarded for each group on a competitive basis. The grants will be awarded up to \$5,000 each. The limited size of the grants gives capable young professionals

a high probability of receiving funds because few senior researchers apply, thus enabling the program to meet its objective of expanding research capacity.

Grantees will be invited to participate in an additional regional network workshop, at which researchers will discuss their works in progress. This workshop will provide an opportunity for participants to expand their professional ties, exchange ideas, and learn more from each other and from resource people. Materials addressing problems encountered in the early stages of research will be developed for the workshop. All comments offered by peer reviewers will be recorded and made available to researchers to improve the quality of their final research papers.

**Publish and Disseminate Research.** The program will publish and disseminate research of value to peers and policy-makers. This is an important aspect of the program for three reasons. First, research reports that address policy issues can have a positive impact on policy-makers and their decisions, providing the basis for constructive policy dialogue and sound national policies and programs. Second, training materials that address African rural development issues are few. Case studies, condensed reports, and other research output published through the program will expand the number and quality of training materials available. Third, the opportunity to publish will enhance the professional credibility of rural social scientists among their peers both in Africa and abroad.

The program will continue to publish condensed papers as part of a series of working papers. Groups of papers that address similar topics can be later distributed in packets for use as case studies and teaching materials.

**Distribute Newsletter.** An occasional newsletter will be published and distributed in Africa and to interested researchers in the U.S., Canada, and Europe. The newsletter will summarize participants' research activities, list professional development activities, review new books, and suggest additional resources that may improve the quality of research produced through the program.

**Provide Technical Support to Participants.** Winrock program staff will assist participants as needed in such activities as the identification of relevant literature, identification or purchase of necessary software, facilitation of data sharing, etc.

**Promote Linkages Among Researchers and Policy-Makers.** The program will promote the use of research for policy dialogue and encourage researchers to select research topics of interest to policy-makers. The program will organize and facilitate

workshops for researchers and policy-makers to develop linkages, and to discuss research results as well as productive avenues of future analysis with supplementary program grants.

### **Program Coordination**

Project implementation will be managed by Winrock regional offices in West and East Africa. The East Africa office will also have responsibility for supporting researchers in Southern Africa and Northern Africa. Regional advisory committees composed of senior African social scientists will be appointed to help guide and evaluate regional program development. Two representatives from each of the regional committees will be appointed to a program committee to advise and guide overall program coordination.

Program leadership and coordination will be provided by the agricultural policy program director at Winrock headquarters. Winrock's Africa regional director will provide administrative support to field staff. Regional nodes in East and West Africa, primarily staffed with African professionals, enable substantial cost savings to individual programs. This model improves the ability to provide programs that are responsive to the unique regional needs, and it increases the personal involvement of seasoned program officers with program participants.

### **Major Outputs**

The principal project outputs will be:

- (a) a network of rural social science researchers in Africa who have received technical guidance on research methodology and funding assistance to carry out research projects in their own interest; and
- (b) systems for the regular dissemination of research results to members of the network and their governments and for the regular exchange of research results at workshops and conferences among network participants on topics of priority concern.

### **Beneficiaries**

The immediate project beneficiaries will be the recipients of the research grants and participants within the research network. The longer-term beneficiaries will be the governments of those countries participating in the project and making enlightened use of the research results to improve the policy environment for sustained economic growth. The ultimate

beneficiaries will be the rural households who will benefit as a result of an improved policy environment which takes into account the impact of policy actions upon rural populations.

### Financial Summary

The project is part of a \$904,168 effort. Ford Foundation has pledged \$200,000 for core costs with additional funds expected from the Rockefeller Foundation, A.I.D. field Missions and other sources. The A.I.D. contribution will be provided on a proportional basis as set forth below. The full life-of-project funding level of \$310,000 will be obligated in FY 1990.

### Budget

(U.S. Dollars)

<u>Item</u>	A.I.D.	Other Donor	Total
1. Research, Publications, and Dissemination			
a. Research Grants	120,770	239,193	359,963
b. Research Publications and Dissemination	41,267	81,733	123,000
c. Advisory Committee	7,566	14,984	22,550
	-----	-----	-----
Subtotal	169,603	335,910	505,513
2. Program Management and Support Services			
a. Salaries	39,462	78,157	117,619
b. Fringe Benefits	13,722	27,176	40,898
c. Travel, Transportation, and Per Diem	17,312	34,287	51,599
d. Allowances	4,952	9,808	14,760
e. Evaluation/Audit	10,000	0	10,000
f. Other Direct Costs	15,819	31,331	47,150
	-----	-----	-----
Subtotal	101,267	180,759	282,026
Total Direct Costs	270,870	516,669	787,539
3. Indirect Costs	39,130	77,501	116,631
	-----	-----	-----
Total Costs	\$310,000	\$594,170	\$904,170

## Attachment 3

### Special Provisions

#### 1. Payment Provision: Federal Letter of Credit.

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 with A.I.D. exceed \$120,000 per annum; (ii) A.I.D. 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 disbursing thereof; (iv) the grantee's financial management system meets the standard 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 advance under this grant is less than 50 percent or (vi) the foreign currency portion of the total advance under this grant is more than 50 percent 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 A.I.D.'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. Publications

(a) If it is the Grantee's intention to identify A.I.D.'s contribution to any publication resulting from this Grant, the Grantee shall consult with A.I.D. on the nature of the acknowledgement prior to publication.

(b) The Grantee shall provide the A.I.D. Grant Officer with a copy of all published works developed under this Grant and with lists of other written work produced under the Grant.

(c) 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 A.I.D. reserves a royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and authorize others to use the work for U.S. Government purposes.

AID 1350-1 (3-87)  *PIO/T	AGENCY FOR INTERNATIONAL DEVELOPMENT  PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES	1. Cooperating Country <b>Africa Regional</b>	Page 1 of 3 Pages
		2. PIO/T No. <b>698-0484-3-0611204</b>	3. <input checked="" type="checkbox"/> Original or Amendment No. _____
		4. Project/Activity No. and Title  <b>Rural Social Science Research Capacity</b>  <b>698-0484</b>	

DISTRIBUTION  OFFICE OF FINANCIAL MANAGEMENT DATE: 8/14/90 BY: [Signature] FOR: [Signature]	5. Appropriation Symbol <b>72-1101014</b>	6. Budget Plan Code <b>GSSA-90-31698-KG12</b> <b>(014-61-698-00-69-01)</b>
	7. Obligation Status <input checked="" type="checkbox"/> Administrative Reservation <input type="checkbox"/> Implementing Document	8. Project Assistance Completion Date (Mo., Day, Yr.) <b>9/30/93</b>
	9. Authorized Agent <b>MS/OP/OS/AFR</b>	10. This PIO/T is in full conformance with PRO/AG No Date <b>N/A</b>
	11a. Type of Action and Governing AID Handbook <input type="checkbox"/> AID Contract (HB 14) <input checked="" type="checkbox"/> AID Grant or Cooperative Agreement (HB 13) <input type="checkbox"/> PASA/RSSA (HB 12) <input type="checkbox"/> Other	11b. Contract/Grant/Cooperative Agreement/ PASA/RSSA Reference Number (If this is an Amendment)

12. Estimated Financing (A detailed budget in support of column (2) is attached as Attachment No <u>A</u> )					
Maximum AID Financing Available	A Dollars	(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
			310,000		310,000
	B. U.S.-Owned Local Currency				

14A. Instructions to Authorized Agent  
 Authorized agent is requested to execute a grant to the Winrock International Institute for Agricultural Development (WINROCK) in support of the attached application for assistance. Additional funds will be added at a later date.

14B. Address of Voucher Paying Office  
**AID/W:PFM/FM/PAFD**  
**Washington, D.C. 20523**  
**AFR/TR/ANR/PA:DASmith**  
**Room 329**

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 or program description are technically adequate.  AFR/TR/ANR/PA:DASmith [Signature]	Phone No. <b>235 0871</b>	B. The statement of work or program description lies within the purview of the initiating office and approved agency programs.  AFR/TR/ANR:LJepson [Signature]	Date <b>8-27-90</b>
	Date <b>8/17/90</b>		
	C AFR/PD:BBurnett [Signature] AFR/PD:GBertolin [Signature]		D Funds for the services requested are available PM/A/PN:RAnderson [Signature] AFR/TR/PRO:CBurke [Signature] AFR/DP:GCauvin [Signature]
E For the Cooperating Country The terms and conditions set forth herein are hereby agreed to  N/A Signature _____ Date _____		17 For the Agency for International Development  Judith W. Gilmore Signature <u>Judith W. Gilmore</u> Date <b>9/7/90</b> Title <b>Dep. Director, AFR/TR</b>	

Use HB 3, Sup A, App. C, Att B, for preparation instructions. Note: The completed form contains sensitive information whose unauthorized disclosure may subject employee to disciplinary action.