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G U I D E L I N E S

for the

COLLABORATIVE RESEARCH SUPPORT PROGRAM

under Title XII*

October 10, 1979

*Guidelines developed by the Joint Research Committee,
recommended by the BIFAD, and approved by A.I.D.
This is an Amendment of Guidelines dated October 11, 1977.

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G U I D E L I N E S

FOR THE

COLLABORATIVE RESEARCH SUPPORT PROGRAM (CRSP)¹

INTRODUCTION

The International Development and Food Assistance Act of 1975, which amended the Foreign Assistance Act of 1961, as amended, provided a Title XII, entitled "Famine Prevention and Freedom from Hunger." Section 297(a) of Title XII provides authority for a totally new type of research program. This program is identified as follows: "... to provide program support for long-term collaborative university research on food production, distribution, storage, marketing and consumption."^{la/}

Purpose of these Guidelines

The purpose of these Guidelines, hereafter referred to as "Guidelines," is to outline general concepts to guide conduct of the long-term collaborative university research as mandated in Title XII. Section 297(b) states that programs under Title XII shall be carried out so as to utilize and strengthen the capabilities of universities in agricultural research to be conducted in the cooperating nations, at international centers, or in the United States; they should take into account the value to United States agriculture of such programs;

^{1/} The paper outlines general approaches and concepts to guide the development of the new research effort described herein. Activities and any new procedures to be undertaken within these Guidelines in implementation of research programs must be in accordance with applicable U.S. laws, regulations and policies.

^{la/} The International Development Cooperation Act of 1979 amends this provision by inserting, "in the developing countries themselves to the maximum extent practicable" immediately after "university research." In the evolution of this program, JRC and A.I.D. have been working toward this end. It is important that universities participating in the program appreciate this Congressional emphasis.

and whenever practicable, they should build on existing programs and institutions including those of the universities, the United States Department of Agriculture (USDA) and the United States Department of Commerce (USDA).2/

Section 298(d) of Title XII provides that "The President may authorize the Board for International Food and Agricultural Development (BIFAD) to create such subordinate units as may be necessary for the performance of its duties including, but not limited to, the following: "A Joint Research Committee to participate in the administration and development of the collaborative activities described in Section 297(a) (3) of this Title."

The functions of the JRC and its role under the BIFAD have been defined by the BIFAD in its Charter. The role of the JRC concerns all research activities encompassed under Title XII. The Guidelines herein described, however, deal only with the CRSP, outlining briefly the underlying concepts and general characteristics of desirable approaches for implementing this new research authority. However, it is important to note that there are other food, nutrition and rural development research activities which function under Title XII authority and fall under the purview of the JRC as a subordinate committee of the BIFAD.

Included will be relevant research activities supported by A.I.D. through centrally-funded research contracts and grants and country-specific or region-specific research funded through regular and special budgetary allocations of the A.I.D. Missions and Regional Bureaus, or appropriately related to CRSPs. The JRC will serve the BIFAD in meeting its responsibilities with regard to program support for international agricultural research centers. It will assist the BIFAD in participating in the planning, development and implementation of assistance to strengthen the capacity of Title XII-participating U.S. universities by helping devise innovative mechanisms for providing federal (A.I.D.) funding to U.S. universities for long-term support of scientific staff, research programs, graduate training activities and the like in furthering the purpose of Title XII. It will develop for the BIFAD such analyses as it may request, including but not limited to, those dealing with desirable

2/ A major distinction between "collaborative research" and "centrally-funded contract research" deals with whether or not sufficient university resources are to be contributed to the program, since this contribution is required of all "collaborative research" programs, but not required for "centrally-funded contract research" projects. For the purpose of this report, the definition of a U.S. university is as described in Section 296(d) of Title XII.

Title XII research program and budgetary projections. Also, it is expected that some research projects linking U.S. institutions and developing countries will be funded as parts of A.I.D. country programs and, hence, will fall under immediate cognizance of the Joint Committee on Agricultural Development (JCAD), a subordinate unit of the Board, comparable to the JRC but focusing on country programs.

BACKGROUND

These Guidelines build upon the October 11, 1977 "JRC Guidelines" report, bringing it up to date to reflect subsequent BIFAD/AID agreed positions on certain specific details. Especially, on the basis of subsequent experience acquired in planning and implementing CRSPs, the document is elaborated to include details of processes to be followed in selecting planning entities, participating institutions and management entities for CRSPs, and to outline more fully both the joint and the separate roles of JRC, BIFAD and A.I.D. in planning, approving and implementing individual CRSPs. These CRSP Guidelines are designed to provide the necessary policy and procedure base for BIFAD/JRC/AID involvement for university participation and A.I.D. execution of the CRSP program. As the CRSP is a joint BIFAD/JRC/AID University undertaking, jointly financed, planned and managed, these CRSP Guidelines have been jointly developed and jointly agreed upon by BIFAD and A.I.D.

The CRSP concept derived from a mutual desire by A.I.D. and the universities to build upon the long experience of the "Hatch Act" and other collaboration between the USDA and state-supported research institutions, which feature federal support to state-funded research, justified by the complementarities of benefit to U.S. Government and individual state objectives.

The "Hatch Act" model does not provide a closely replicable analogy, however, as both U.S. Government research funds and those from the several states are all directed exclusively to domestic objectives -- albeit at a different level of governmental aggregation -- and both USDA and the several state research institutions are mandated to serve those domestic U.S. interests. In contrast, U.S. funds for foreign assistance are to assist the peoples of developing countries, and A.I.D. is mandated to use its resources for that purpose.

However, agricultural leaders concerned both with domestic and with developing-country needs for research-based science and technology have come increasingly to recognize large areas of overlap of subject matter, and the resulting substantial mutual advantage of joint research program efforts which cut across national boundaries and different levels of agricultural development. Most commercial crops and animals produced in the U.S. have origins in what are now the developing countries, and most of the world's food is from crops and animals which are common to both the more and the less-developed countries. Furthermore, such production-limiting factors as plant and animal disease, climate (temperature, humidity, etc.) and soil constraints, are often best studied under the conditions of maximum stress which frequently occur in developing countries. Most important, solutions of specific, major technical problems often require critical masses of scientific talent and institutional resources not usually available to a single country, especially to the poorer, less-developed countries.

THE PROGRAM

Some Definitions

"Collaborative Research Support" is the term herein given to the programs carried out under Section 297(a)(3) of Title XII. This is research jointly supported by A.I.D. and participating U.S. institutions.^{3/} These CRSPs address specific problems of food production, distribution, storage, marketing, consumption, and include such factors as policy/planning, rural development, food processing, social factors and nutrition. Formally-organized individual components of a given CRSP may be designated as projects. An institution (called a planning entity) is selected to plan the CRSP, following which an institution (called a management entity) is selected to administer the CRSP. This concept is detailed starting on page 13 of this document.

The term "Collaborative Research Support Program (CRSP)" denotes an arrangement which facilitates collaboration among U.S. universities,

^{3/} The term "participating institutions" is used to denote institutions contributing financially to the CRSP, as defined beginning on page 14. The term "collaborating institutions" includes these plus all other U.S. and developing-country institutions collaborating significantly in the total CRSP effort.

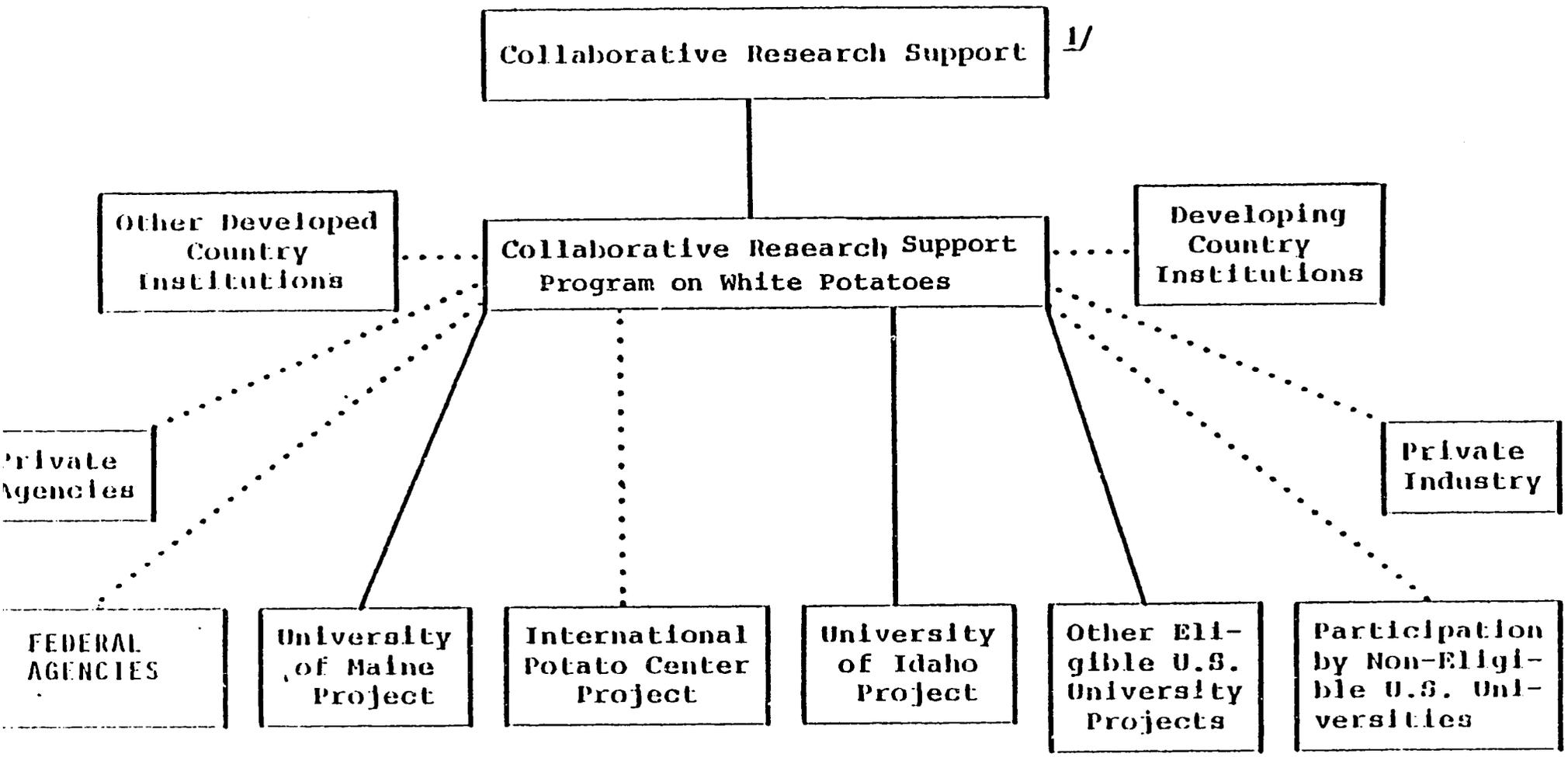
the USDC, USDA, international agricultural research centers, other research institutions, private agencies and industry, and developing-country universities and other research institutions.

A federal agency may participate in a CRSP and receive federal funds from a participating university (management entity) through a sub-grant or contract, so long as the primary university character of the research program is not changed. However, if a participating federal agency's activities are covered by specific appropriations under its own legislation, it must be administratively determined that the expenditures from the A.I.D. grant for such purposes are required for effective implementation of the grant.

Collaboration is carried out on a problem-oriented basis in a common, integrated research and development program to solve a priority food, nutrition or rural development problem. (See Program Planning section on page 11.) This may require fundamental research. The diagram shown on page 6 is for the purpose of illustration, and it should be recognized that there are many other variations which could be developed.

The Concept

The amelioration of world food, nutrition and poverty problems will require considerable expansion in a comprehensive body of relevant scientific knowledge. Although expanding, the research capacity extant in the developing nations is insufficient to the task of providing such knowledge in an adequate time frame. The international agricultural research centers have considerable capacity to contribute to certain of these knowledge needs; however, this also is insufficient. Experience has demonstrated that the centers must depend on national research institutions, such as state universities, for basic research in many scientific elements of plant and animal production. The agricultural research establishment of the American higher education community, the USDA, USDC and other federal research organizations, has extensive capacity to work effectively on this set of problems. For a variety of reasons, this capacity has not been brought to bear in sufficiently comprehensive fashion on these issues. If progress is to be made, and the U.S. foreign assistance commitment effectively discharged, this latter capacity must be mobilized to work in collaborative fashion with the international agricultural research centers, and even more important, the agricultural research institutions in the developing nations. The CRSP is designed as an instrumentality capable of mobilizing this talent and permitting it to plan a significant role in high-payoff, problem-oriented research programs on key food, nutritional and rural development problems which confront developing countries.



1/ By definition in the Title XII legislation, "support" funds for Collaborative Research Support Programs may be granted to support research done only by eligible universities as defined in that Title. These grants are shared-cost arrangements, to be effected via the special CRSP grant instrument. Services of other universities or institutions, when required for the accomplishment of the CRSP objectives, may be obtained through standard contract, sub-contract or specific grant instruments and provisions. Activities of federal agencies participating in a CRSP may be funded where appropriate through sub-grants or sub-contracts from the Management Entity or, in special cases, through a PASA with A.I.D. In the diagram, solid lines are used to denote flow of support funds to eligible universities, dotted lines to denote funding of other participating institutions and agencies. A management entity will be funded via CRSP support grant if it is an eligible university as defined under Title XII.

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This instrumentality and the collaborative research programs which it generates must also be capable of assuming effective interaction and complementarity with national, bi-national and multi-national agricultural development programs in developing nations. A CRSP may be designed to provide a technical services component for advising LDCs in the CRSP subject matter area. These services would be used predominantly to design the adaptation of research developed under the CRSPs to site-specific situations and assist LDC staff in establishing CRSP-related programs in their home countries.

It is the intent of Congress that this research knowledge be utilized as quickly and fully as practicable by the LDCs. To achieve this, we anticipate that, beyond the short-term services provided within the CRSP, the expertise, skills and knowledge embodied in the individual CRSPs will be applied in the LDCs through other appropriate funding mechanisms.

Research programs of U.S. agricultural research institutions have, to a degree, become specialized in response to the specific characteristics of agriculture within their respective states. Since the late 1940s, the U.S. state agricultural experiment stations have collaborated in research planning and implementation on a regional basis through a formal process entitled "Regional Research," which is funded by Congress for that specific purpose. Regional research projects have enabled state agricultural experiment stations and USDA to contribute specialized research competence in a cooperative manner to the solution of comprehensive problems. The rising relative and absolute costs of scientific research will inevitably force more such specialization, because it is becoming increasingly more difficult for a U.S. state agricultural research institution to cover the research needs of all components of agriculture in that state.

Similarly, developing-country institutions cannot be all things to all people. Certain basic, minimal response capabilities to major agricultural needs must be developed and maintained in each country; but such institutions will have to make priority decisions and choices among competing needs in order to devote enough attention to any one problem to make significant contributions and thereby earn their constituents' support.

International agricultural research centers have been established to address some of the more important problems confronted by developing countries. These centers are supported by some thirty donor members of the Consultative Group on International Agricultural Research (CGIAR), of which the U.S. is one of the major donors. The centers focus their research and training programs on the major food sources of the developing countries. Their successful operation is dependent

not only upon establishment of effective linkages with developing-country research systems, but also upon adequate supportive research relationships with appropriate institutions in the developed countries.

Program Approach

The CRSP approach will link institutions having common interests in organized programs of research on selected problems. Such a collaborative research program on a single problem of common interest to the U.S. and several of the developing nations might involve a single U.S. institution as the U.S. leader, an international center and several developing nation agricultural universities or research centers. More commonly, two or more U.S. universities plus, as appropriate, other U.S. institutions with exceptional competence and interest in the problem would work as a team with the collaborating foreign institutions, either under a special consortium or under prime grantee/sub-grantee or sub-contractor arrangement. Under any organizational model, certain specialized competencies required for effective solution of a given problem might not be available in the principal participating institutions and would need to be drawn from whichever source, U.S. or foreign, most capable of providing them. Only those institutions contributing substantially to the CRSP shall participate in management decisions, including that of determining the possible need for specific competencies from other institutions not so contributing.

The management entity will assume overall responsibility for managing the program and will fund sub-grantees or sub-contractors in accordance with the provisions of the grant. Participating federal agencies may be funded, according to agreed-upon plans, directly by the management entity through appropriate grant or other instruments. Participating federal agencies shall be assumed to participate on a shared-cost basis comparable to eligible universities, except that their contributions may be from federal funds. All such funds, to be considered as a shared-cost contribution by a participating federal agency, must be used to support the CRSP, as recommended by BIFAD and approved by A.I.D.

All CRSP funds from both university and A.I.D. sources may be used for such purposes as:

— financing those components of appropriately reoriented U.S.-based research programs directly and significantly contributing to the solution of developing-country problems;

— financing planning and organizational costs which are necessary to carry out the research programs;

— financing overseas research activities of U.S. faculty and graduate students working on approved collaborative research programs;

— financing research arrangements of management entities and eligible universities with collaborating developing-country institutions or individuals, and for conducting research in practical developing-country farm situations to test validity, relevance and applicability of findings;

— financing developing-country and U.S. graduate students and other junior U.S. scientists on research necessary to prosecution of the problem-solving activity;

— financing development of research information exchange systems including conferences, data storage and retrieval systems, publications, materials exchanges, professional exchange arrangements and any other arrangements necessary to prosecution of the problem-solving activity;

-- financing special activities specific to the participation of international agricultural research centers on approved research not covered by their core budgets;

— financing a technical services component in the CRSP as stated previously; and

— financing such other functions as are essential to effective conduct of approved collaborative research programs.

As defined later in these Guidelines, all CRSPs are jointly funded by A.I.D. and participating institutions. Participating U.S. institutions would likely be those with a high performance potential, as judged by commitment or willingness to become committed (and not exclusively by experience in the field), professional research capability, and especially by the extent of their financial contribution to the CRSP. It is expected that participating institutions would elect to participate in programs which would be most complementary to their own domestic responsibilities.

Collaborating developing-country institutions would participate out of their sense of the priority research needs of the constituencies they serve, and their capability to contribute to solution of the jointly-identified priority research problems.

Division of effort would be worked out in large part by the collaborating researchers themselves. It would not necessarily follow a standard pattern. In some cases, U.S. scientists might do the major portion of the more basic research, because of access to costly laboratory facilities and specific expertise; in other instances, because

of special aptitudes or interest, this might be a primary contribution of developing-country researchers. Interest, capability and, above all, design requirements of an effective research program would be the ultimate considerations.

Characteristics of a Management Entity

For each CRSP, an administrative "Management Entity," with appropriate legal status, not necessarily a corporation, will be required for administering the resources contributed by A.I.D. and for overseeing the individual projects comprising the program. This management entity would receive and administer A.I.D. grant funds for the CRSP and enter into sub-grants or contracts with collaborating U.S. and developing-country institutions for their respective projects, according to the program plan. The management entity should have the capacity to coordinate the effective implementation of the program and be responsible for effecting implementation of the budgetary plans, including the contributions of the participating institutions to their projects.

The management entity might be a U.S. university, an administrative unit within a university, a special consortium of universities, or other body representing the participating institutions. A federal agency would not serve as a management entity.

A.I.D. funds for a given CRSP would flow from A.I.D. to the management entity, and from that entity to each collaborating institution. (Normally, contributions by a participating institution would be made directly to that institution's project under the CRSP and would not be transferred to the management entity. This does not, however, preclude the right of the management entity to receive and administer such funds when mutually agreed.) A.I.D. would, nevertheless, hold the management entity responsible for performance of the CRSP. A.I.D. would assure that the management entity would manage the program in accordance with the overall plan and budget agreed to by A.I.D. and the management entity. The JRC will, through BIFAD, assist A.I.D. in the management of all these activities by such continuing evaluational and other program development and monitoring mechanisms as may be evolved. Similarly, A.I.D. would hold the management entity accountable for the funds and for their appropriate use in all aspects of the CRSP; and this entity would, in turn, hold the participating institutions and other collaborating institutions accountable for the funds and for their use in the projects according to budgetary plans. A suitable system of accountability would be developed between the management entity, the participating universities and A.I.D. for holding participating institutions accountable for use of A.I.D. funds in, and assuring their own contributions to, their projects. Such a management system is essential for efficient management of a number of participating institution projects

comprising a CRSP. This administrative mechanism facilitates tight coordination of activities of several collaborating institutions, makes available a diversity of scientific talent, and assures that all necessary disciplinary and institutional components of a CRSP will be integrated into a comprehensive effort.

PROGRAM PLANNING

The JRC is responsible in the CRSP program for preparing and keeping current a prioritized list, reviewed annually, of areas or subjects suitable for CRSP research. After this list is prepared, periodically reviewed, and acted upon by BIFAD and A.I.D., the JRC will advise and assist BIFAD and A.I.D. in the necessary planning preparatory to the initiation and implementation of a CRSP.

Exploratory Analyses

After agreement is reached on a priority schedule of problem areas meriting formal consideration as a possible CRSP, the JRC (with BIFAD and A.I.D. approval) may proceed either with further exploratory analysis, or directly toward a planning grant.

An exploratory analysis is indicated where reasonable doubt exists about the feasibility of the CRSP, or where additional information is needed on such things as U.S. university interest in shared funding, selection of specific focus within a broad subject area, and possible approach to be taken to the problem before proceeding to a formal planning process. This exploratory analysis may be done in a variety of ways, depending upon the problem, including special studies or state of art reviews, professional conferences or workshops, small feasibility studies, A.I.D. or JRC canvass of host country or U.S. university attitudes, etc. The general characteristic is that such exploratory analyses should be relatively short-term and of modest size (e.g., 3-4 months' duration and usually within \$50,000 in cost). The JRC will recommend through BIFAD to A.I.D. on how each exploratory analysis should be carried out, including recommendations on individual(s) or institution(s) most qualified and interested, to carry it out, and A.I.D. will make the decision. The guiding principle is that A.I.D. should, with full attention to avoiding potential organizational conflicts of interest insofar as possible, utilize the advice provided by the JRC/BIFAD in selecting the planning entity, inasmuch as fullest utilization of such advice is in accordance with the intent of Title XII in establishing these bodies, assures most competent and objective selection, and maximizes benefit to government.

The exploratory analysis may not be necessary as such, and the process can proceed directly to the planning grant. This could happen where

the facts of the case tend to be such as these: problem area obviously is important and judged by JRC and others to be of high priority; feasibility of success is rather widely accepted; the area obviously requires a large collaborative approach; institutional strengths and interests are generally known; and/or the problem area is well defined and accepted as a natural extension of prior work.

The situation, while not requiring an exploratory analysis, may be such that it is understood that early phases of the planning grant will require important exploratory elements, the findings of which can materially influence the later stages of the CRSP that evolves.

JRC will recommend to BIFAD as to whether or not the exploratory analysis is necessary. If it is undertaken, the results would be used as a basis for the BIFAD/JRC recommendations to A.I.D. on future planning steps, if any, to be undertaken.

Selection of a Planning Entity

Either following an exploratory grant or in the absence of one, the JRC will identify and recommend to BIFAD for action and recommendation to A.I.D. an entity or a list of possible entities best suited to undertake the planning. The essential steps in selecting the planning entity are:

(1) After A.I.D., JRC and BIFAD have agreed to carry out a planning effort, either phased to include some exploration to provide additional information for a final decision or unphased to proceed directly with planning, a scope of work for planning the CRSP and criteria for selection of an institution to do the planning will be developed jointly by A.I.D. and the BIFAD Staff with review and concurrence by JRC.

(2) Background information describing the subject matter area to be researched, the general concept of a CRSP, and the objective for developing a CRSP in the subject matter area will be prepared by A.I.D. and BIFAD Staff. A.I.D. will publish in the Commerce Business Daily, or other suitable publication, a notice of intention to select an institution for planning or doing an exploratory study for a Title XII international agricultural research support grant program, on a given subject, listing the criteria for the selection and specifying the scope of work for the planning or study. The notice will also invite institutions interested in participating in the CRSP and/or in doing the planning/study to attend a meeting for further instructions on Title XII, on the CRSP concepts, and on objectives of the program being considered and the planning required.

(3) A.I.D. will convene a meeting of interested parties, with participation of JRC and BIFAD Staff, to provide additional information and request parties interested in doing the planning/study to submit a proposal.

(4) Upon receipt of the proposals, JRC will evaluate them against the criteria distributed and other pertinent information, utilizing whatever resources appropriate. The JRC will then recommend an institution for the planning and will submit a list to BIFAD and A.I.D. of other institutions considered, with the top two or three rank ordered, stating the rationale for its recommendation.

(5) BIFAD will review JRC's recommendation and make a recommendation to A.I.D. who will select and fund a planning entity.

The purpose of the planning contract or grant is to provide inputs necessary to enable JRC effectively to assist BIFAD in recommending to A.I.D. what should be done about implementing the particular CRSP. The inputs needed, as a minimum, include a delineation of the problem, an outline of a research program to address the problem (in detail or in general terms, as may be appropriate), and identification of U.S. and developing-country institutions which might become actively engaged in the research program. Ordinarily, the planning entity would be asked to recommend to the JRC regarding suitable management entity(ies) and other arrangements for management of the CRSP.

The JRC will carefully consider relevant qualifications of interested institutions to undertake the planning. The type of qualifications and their relevant weights will vary from case to case. The planning entity(ies) recommended may be an eligible university or any other competent institution. A federal agency may serve as a planning entity.

The guiding principle in A.I.D.'s selection of the planning entity is that, while retaining fully the responsibility and capability for independent final decision, A.I.D. should follow as fully as possible the JRC/BIFAD recommendation process. The A.I.D. Representative to the JRC will keep a file of all documents relevant to the selection of the planning entity.

A.I.D., in consultation with the BIFAD and the JRC, will design and manage the planning contract or grant in such a way as to: (1) maximize the opportunity for all institutions to make their interests in, and qualifications for, participating in the CRSP known and be fully considered; (2) assure objective evaluation of the qualifications of these institutions to carry out activities required by the CRSP, including the commitment of their own resources to the CRSP.

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(3) provide for optimum contributions by the potentially-participating U.S. institutions (as well as potentially-collaborating LDC institutions) to the planning process; (4) in these and all other respects avoid organizational conflicts of interest; and (5) A.I.D., to the extent A.I.D. is required by law or regulation, will insure compliance with affirmative action guidelines.

Steps will be taken to assure that all eligible universities, including the smaller and less-experienced ones, and federal government agencies having scientific capacity in the problem area and interested in contributing their own resources to the program, will be notified of and have an opportunity to participate in this early phase of the planning process.

The planning entity may at the time of selection be expected to be a participant in the CRSP. In this case especially, it will be necessary to provide adequate safeguards against "organizational conflicts of interest." ^{4/} There may be exceptions where the planning entity may be excluded by a prior decision made by BIFAD/JRC or A.I.D. from participating in any CRSP which may evolve. The planning grant or contract should specify whether the planning entity is to be excluded or permitted to participate in the CRSP.

The planning entity might be a single institution, a consortium of universities, an organization such as the Sea Grant Association which could coordinate the efforts of all interested and eligible universities, or a public agency, foundation or private firm with appropriate competencies. This planning assistance, when done by an "eligible" university as defined under Title XII, would be funded by grant; in other cases, by the financing instrument appropriate to the case.

Selection of Participating Universities, Other Collaborating Institutions and Management Entity for a CRSP

The design and sequences of activities carried out by the planning entity will vary from case to case, and will in all cases reflect

^{4/} Organizational conflicts of interest typically arise in the context of multi-phase programs in which the preliminary phase is designed to develop a work plan, specifications, a set of required capabilities or a design for the activities to be carried out in future phases of the project. An organization selected to do the planning phase of a CRSP may be subject to competing and potentially conflicting interests: (1) the contractor's obligation to perform its contract to the best of its ability and in the government's best interest; and (2) the desire to be in the best possible position to participate in follow-on activities. Moreover, "inside information" obtained in the earliest phases of the project may give it an unfair advantage over other organizations seeking to provide services for later phases of the program.

JRC/BIFAD advice and A.I.D. instructions. To the extent feasible and appropriate to the problem area, however, the initial stages should feature determinations of the characteristics of the problem in the developing countries, and of the interests and resources of developing-country governments, research institutions and researchers. These determinations may be made by a variety of means such as country visitation, regional or other conferences, or scientific workshops. A.I.D. regional bureaus and country missions would be expected to participate actively in guiding the planning entity through this phase. From these determinations, the planning entity should develop a tentative, general, technical characterization of a CRSP responsive to the needs and interests of the developing countries, which JRC would review.

The following stages of the planning process would involve ascertaining interests, resources and specific scientific functions to be undertaken by participating U.S. institutions. From iterative examination of developing-country and U.S. institutions' concepts and interests, the planning entity will develop a more detailed proposal (or set of alternative proposals) on the appropriate technical design and componentry of the CRSP, which the JRC and A.I.D. staff will review.

The JRC will insure that the policies for selection of recommended candidates for the participating institutions and for those selected for recommendation to the management entity will follow, in principle, those used in selection of recommendations for the planning entity. First, all potentially-interested institutions will be notified as to criteria used in each process requiring a selection. Second, criteria used by the JRC as a guide to its recommendations will be jointly developed by A.I.D. and JRC and specified by JRC in advance of any selection process. Also, the process is to be documented; A.I.D. will monitor and keep careful record. With regard to the management entity, recommendations of the BIFAD/JRC will give great weight to the preferences of the participating institutions. JRC, in exercise of its responsibilities described here, is to be cognizant of affirmative action guidelines required by law and regulation. 5/

This will lead to the final stage of recommending on the details of a proposed CRSP, including the choice of U.S. participating institutions, the functions they are to perform, the choice of management entity, managerial arrangements and budget, and suggestions on potential collaborating developing-country institutions and the nature of their involvement. All of this might be done as a set of alternatives.

5/ The JRC has developed jointly with A.I.D. an elaboration of these policies, which will be modified with experience and adapted to individual situations.

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The recommendations on all aspects of a given CRSP are made to A.I.D. by the JRC through BIFAD, including recommendations on the institutions which should participate in the CRSP, and on an appropriate management entity. The JRC has the responsibility of carefully and independently evaluating information, data and recommendations provided by the planning entity to the extent this information is material to its own recommendations to BIFAD, and BIFAD's recommendations to A.I.D. To this end, the JRC will normally require several interactions with the planning process carried out by the planning entity prior to receipt of that entity's final report and recommendations. In all cases, A.I.D. staff, both through membership on the JRC and management of the planning project, will participate in this sequence of evaluations of the planning entity's analyses and recommendations. The Agency Representative to the JRC will keep a file of documents relevant to the planning process for each CRSP.

The JRC recommendation to BIFAD will include, as a minimum:

- a description of an optimally-effective program approach(es) to the objectives of the CRSP, including identification of the required technical components and their interrelationships;
- identification of the U.S. institutions best suited, by virtue of technical capability, experience, interest and commitment of their own financial resources, to undertake research on the various technical components and to effect integration of this research into a total research program, together with budgetary detail on desired A.I.D. funding and individual institutional contributions;
- identification of developing-country and other non-U.S. institutions which may collaborate in the program and general outlines of the nature of that collaboration, including budgetary information, if possible;
- identification of an organizational structure through which research projects undertaken by the participating U.S. universities and collaborating developing-country and other institutions can be supported and administered as a single research program;
- identification of a "management entity(ies)" best suited to manage the total CRSP and to be the prime grantee of the A.I.D. funds.
- assurances that full consideration was given to significant involvement of minorities and women.

Although these recommendations may, of course, be based in part upon and incorporate the planning entity's analysis and recommendations, the JRC shall make its own direct and independent determinations on all of the above recommendations. The JRC recommendations on a management entity and other organizational arrangements shall give substantial

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weight to the preferences of participating institutions contributing financially to the CRSP.

BIFAD shall review these and other recommendations from the JRC and recommend to A.I.D., which exercises its non-delegable responsibility of making final decisions on the BIFAD recommendations. In developing its position, A.I.D. must, of course, consider all aspects and implications of the BIFAD recommendation, including technical and legal considerations and consistency with overall policy, procedures and governing Executive Branch guidelines.

In the event of A.I.D. approval of the BIFAD recommendations or a modification thereof, A.I.D. proceeds to fund the CRSP through a grant to the management entity. As in the selection of the entities to carry out exploratory studies and planning analyses, the guiding principle is that A.I.D. should (with full attention to adequacy of safeguards against possible organizational conflicts of interest) utilize as fully as possible the advice provided by the JRC/BIFAD in the selection of participating universities and other collaborating institutions and in the selection of a management entity. Only to the extent that the finally agreed-upon program differs substantially from that recommended to BIFAD, would it be expected that the institutions selected should differ materially from those recommended by BIFAD. In such case, the JRC may be requested to reevaluate the program and make new recommendations as to the participating institutions and management entity best suited to the modified CRSP. (In some cases, this might be anticipated by alternative sets of the JRC recommendations on approaches, budget levels, participating institutions and management entity for the CRSP.)

Members of the JRC or BIFAD will disqualify themselves from participation in decisions on recommendations of those bodies that directly affect the financial interests of their institutions.

After having been selected by A.I.D. and so notified, the prospective management entity for a CRSP will submit a proposal to A.I.D. for implementation. Essential features of a CRSP grant proposal are as follows:

(1) A time-phased master program plan for the entire CRSP. This should include also a plan for effecting the necessary arrangements with developing-country institutions, international research centers and other entities, in accordance with terms of reference previously approved by A.I.D. in response to BIFAD recommendations.

(2) Project statements from each participating entity, including a description of collaborative relationships with developing-country and other institutions.

(3) An evaluation plan for the program laying out target dates for key accomplishments and indicators for identifying and measuring progress.

(4) An organizational and management plan to show how the CRSP will be implemented, including the management of the funds provided by the grant, as an integral part of the total research effort, including either:

(a) a legally-defined consortium of participating institutions, eligible to receive CRSP funds; or

(b) one institution eligible to receive CRSP funds, designated as the lead institution, which will accept a CRSP that will be subdivided by sub-grants and/or contracts to the collaborating institutions.

Characteristics of CRSP Grants

(1) CRSP grants will be approved for periods of up to five years with forward-rolling program approval each year. Initial forward funding of at least two years with annual forward-rolling funding thereafter to maintain a two-year obligation is essential to successful CRSP implementation. These grants will be reviewed annually with regard to a rolling five-year plan and budget, subject to the termination provisions of the agreement.

(2) The principle of "jointness" between the U.S. universities, other contributing institutions and A.I.D. in financial support, conceptualization and management of each CRSP should be the standard test in evaluating the entire CRSP and each contributing project proposal. "Jointness" should be demonstrable through specific indication in the proposal of the commitment by each contributing U.S. institution. Commitment will be tested by the quantity and quality of the U.S. institutional contribution. Costs of any of the following may be considered a contribution by an institution to its share of the total cost in accordance with Federal Management Circular 73-3.

(a) a continuing component of a program at the institution which is international in dimension and appropriate to the specific CRSP;

(b) an additive to the appropriate program at the institution which is international in dimension and appropriate to the CRSP; and

(c) a reordering of the appropriate research program at the institution which develops an international dimension appropriate to the CRSP.

Within these definitions, each CRSP shall be required to have a minimum, non-federal, aggregate contribution of 25 percent, with the expectation that many participating institutions may be able to exceed that level by a substantial amount. It is recognized that this 25 percent minimum, non-federal contribution is a general guideline which would apply to most CRSPs. Specific cases where this might be unrealistic or inappropriate may be considered jointly by BIFAD and A.I.D., if the element of collaboration is substantial and apparent.

In addition, many U.S. universities and other institutions are conducting large research programs in the general subject matter area of a CRSP which, while not specifically a part of the CRSP, have the potential, if appropriate linkages are established, to advance substantially the achievement of the CRSP objectives. The amount of such research and the nature of its relationship to, and planned linkages with, the CRSP should be described in the contributing institution's proposal in a manner that makes it clear that, unlike the direct contribution to the CRSP, this is not a legal commitment and is not subject to federal audit as part of the CRSP. Such descriptions of additional related research activities will be taken into consideration in selection for funding of CRSPs, and of individual participating institutions. When aggregated for all contributing institutions, these statements will add to understanding of the true degree of "jointness" of the collaborative research effort.

(3) Program and Fiscal Accountability shall be guided by the following general principles:

(a) Individual project contributions by participating institutions to the program as well as program progress will be evaluated periodically by an external review and evaluation committee to be established by each management entity.

(b) Annual project summaries will be submitted by the cooperating institutions for review by the JRC and A.I.D.

(c) Evaluation plans laying out critical steps in the research process and appropriate progress-measuring devices will be developed.

(d) Expenditures will be subject to audit in accordance with FMC-73-6 entitled "Cost Principles for Educational Institutions" and other applicable regulations, including the provisions of OMB Circular A-110.

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(e) Forward-funding decisions will be made by A.I.D., to maintain a two-year obligation.

(f) A.I.D. may monitor all aspects of a CRSP and may require such reports as deemed necessary.