

AID 1025-1 (7-71) (FACE SHEET)
NONCAPITAL PROJECT PAPER (PROP)

I. PROJECT IDENTIFICATION

1. PROJECT TITLE
 211(d) Grant - The Johns Hopkins University

APPENDIX ATTACHED
 YES NO

2. PROJECT NO. (M.O. 1095.2)
 931-11-570-101

3. RECIPIENT (specify)
 COUNTRY _____
 REGIONAL _____ INTERREGIONAL Worldwide

4. LIFE OF PROJECT
 BEGINS FY 1968
 ENDS FY 1975

5. SUBMISSION
 ORIGINAL
 REV. NO. 4 2/12/75
 CONTR. NO. 1939

II. FUNDING (\$000) AND MAN MONTHS (MM) REQUIREMENTS

A. FUNDING BY FISCAL YEAR	B. TOTAL \$	C. PERSONNEL		D. PARTICIPANTS		E. COMMODITIES \$	F. OTHER COSTS \$	G. PART / CONTR.		H. LOCAL EXCHANGE CURRENCY RATE: \$ US _____ (U.S. OWNED)			
		(1) \$	(2) MM	(1) \$	(2) MM			(1) \$	(2) MM	(1) U.S. GRANT LOAN	(2) COOP COUNTRY	(A) JOINT	(B) BUDGET
1. PRIOR THRU ACTUAL FY	1950												
2. OPRN FY 1975	520						1950	1950					
3. BUDGET FY							520	520					
4. BUDGET +1 FY													
5. BUDGET +2 FY													
6. BUDGET +3 FY													
7. ALL SUBQ. FY													
8. GRAND TOTAL	2470							2470					

9. OTHER DONOR CONTRIBUTIONS

(A) NAME OF DONOR	(B) KIND OF GOODS/SERVICES	(C) AMOUNT

III. ORIGINATING OFFICE CLEARANCE

1. DRAFTER W. E. Worcester, Jr. <i>W. Worcester</i>	TITLE Health Planning	DATE 2/12/75
2. CLEARANCE OFFICER Lee M. Howard, M.D. <i>L. Howard</i>	TITLE Director TA/H	DATE 2/12/75

IV. PROJECT AUTHORIZATION

1. CONDITIONS OF APPROVAL

Note: The attached grant project statement was reviewed and favorably endorsed by the Research & Development Committee at its Feb. 4, 1975 meeting.

2. CLEARANCES

BUR/OFF.	SIGNATURE	DATE	BUR/OFF.	SIGNATURE	DATE
TA/PM	C. Fritz <i>C. Fritz</i>		GC/TFHA	<i>ARR</i>	2/24/75
TA/PM	R. Kitchell <i>R. Kitchell</i>	2/13/75	GC	<i>[Signature]</i>	2/24/75
AA/PPC	P. Birnbaum <i>P. Birnbaum</i>	2/24/75			

3. APPROVAL AAs OR OFFICE DIRECTORS

SIGNATURE	DATE

4. APPROVAL A/AID (See M.O. 1025.1 VI C)

SIGNATURE	DATE
<i>[Signature]</i>	3/7/75

ADMINISTRATOR AGENCY FOR INTERNATIONAL DEVELOPMENT

FEB 24 11 43 AM '75

ACTION MEMORANDUM FOR THE DEPUTY ADMINISTRATOR

THRU: ES

DATE: February 20, 1975

THRU: AA/PPC, Mr. Philip Birnbaum

FROM: AA/TA, Curtis Farrar

Problem: In accordance with the recently established process of 211(d) institutional grant awards and extensions, to request A/AID approval of a proposed two-year extension/revision of not to exceed \$520,000 to the Johns Hopkins University (JHU) School of Public Health to facilitate fuller and continuing utilization of unique, AID-oriented, institutional response capabilities to meet the Congressional Mandate in areas of health planning and low cost delivery systems.

Discussion: PD-62, approved by you on October 30, 1974, established the basis for extending grants, in carefully selected cases, "...to achieve fuller and continuing utilization of their capacity, separate from specific contracts, because although these institutions are peculiarly relevant and have shown great interest and capacity to work with LDC institutions, they are not yet able to take on the full financial burden of sustained utilization of capacity." As of this date, eight 211(d) grants have already expired and three more are in the process of being phased out. Proposals for extensions of several others are presently under review.

In accordance with the new procedures developed as a result of the comprehensive agency review of the 211(d) program itself and issuance of PD-62, an on-site review was held by an intra-agency team at Johns Hopkins University last October. The results of this review and the subsequent PAR issued by TA/H are attached at TAB A. In brief, the team recommended that the grant be extended but under specific conditions and terms concerning grant focus, research strategy and priority response capabilities needed by AID (see pages 19 and 20 of Review Team Report and PAR face sheet).

AID, in order to fulfill the Section 104 Congressional Mandate "to provide health services to the majority," has increased delivery systems projects from 7 in 1973 to 17 for 1975. By 1977, 27 are planned, a total which will still leave 50% of all A.I.D. countries without evidence of Agency support of health sector programs responsive to the Mandate. Given the low number of field health staff qualified to respond to the Mandate, the rapid increase in field requests for new programs, and the short lead time on program development, maximum utilization of U.S. institutional and contract resources is essential. It is expected that fixed demand over the next several years will stimulate interest and competence in many U.S. institutions, but for the ensuing two years, the Hopkins resource remains unique by being the only university division in the United States exclusively devoted to AID-oriented health programs and willing and able to provide a full range of response capabilities in education and training, research, technical advisory services, information collection and dissemination, and linkages to other key health institutions in the U.S. and overseas with expertise in extending health care to the majority. Since Hopkins is a private university, its response capability in an area of non-U.S. domestic demand simply cannot be sustained in any viable form without support by donors such as AID with specific overseas requirements. The University has agreed to provide 20% of core costs in FY 76 and 77, in addition to normal overhead.

As a result of the above considerations, the sponsoring technical office (TA/H) prepared a grant project statement, attached at TAB B, which presents the case for conversion of original grant to the so-called "utilization mode" and includes the revised project design. In accordance with now standard practice, the statement was distributed to all regional bureaus and a meeting of the Research and Development Committee was held on February 4, 1975 to review TAB's plan. Each regional bureau was requested to address specifically the question of central versus regional funding and management and, without exception, the rationale included in pages 11 and 12 of the grant project statement was accepted as valid. The project statement was approved for submission to you as written with the caveat that the recommendations of the review team be incorporated in the final grant agreement to be negotiated with Hopkins.

This was the unstated intention of TAB, therefore there are no unresolved issues.

In brief, the grant extension will permit JHU to continue its involvement in health planning and low-cost delivery systems for LDCs with new emphasis on priority research subjects, jointly selected (e.g. micro planning methodology and state-of-the-art analyses), special non-academic training courses both at JHU and in selected LDCs, publication and dissemination of monographs, tapes and manuals, and advisory capacity and release time for functions required by AID and other donors (see pages 8-10 in grant project statement for more detail).

Although Johns Hopkins is constantly exploring additional sources of funding, future program reviews may indicate a need for some continuing support beyond the proposed grant period, i.e. to March, 1977. A conference with Hopkins, TA/H and the Regional Bureaus will be held after one year to assure focus on AID/LDC needs. The needs of AID and the LDCs for continued services will also be evaluated at that time and Hopkins will be asked to submit funding alternatives with the intent to seek a phase down of 211(d) support.

This is the first grant prepared for extension under the policy and criteria recently established. With your approval, negotiations will commence immediately with Johns Hopkins University to develop a revised grant proposal and back-up documentation in greater detail but within the parameters of the grant project statement and Agency policy and regulations, for subsequent execution by SER/CM.

Funds for this grant were included in the FY 75 operational budget presented to OMB and can be made available within the control figures assigned TAB in the current Congressional Presentation exercise. We consider this to be a high priority activity and would expect to fund the grant, if approved, even if our FY 1975 Section 104 OYB when finally approved were to be lower than anticipated.

Recommendation: That you approve, by signature of the Project Paper (PROP) face sheet attached at TAB C, the extension of an institutional grant of not to exceed \$520,000 and two years to Johns Hopkins University as described in the attached grant project statement.

Attachments
a/s

Clearances:

GC/TFHA, ARichstein *ARA*
GC, AGardiner *Cyza*

cc: CM/COD, ROBrien

TA/PM:REKitchell:TA/H:LHoward:js:2/13/75

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D. C. 20523

OFFICE OF
THE ADMINISTRATOR

JUN 10 1968 - JUN 8 1968 - date of receipt

Dr. Lincoln Gordon EXECUTIVE SECRETARIAT
President, Johns Hopkins University
Homewood
Baltimore, Maryland 21218

MAY 31 1968

(12) 101

Dear Dr. Gordon:

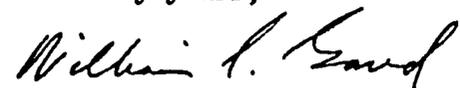
I am pleased to inform you that pursuant to the authority contained in Section 211(d) of the Foreign Assistance Act of 1961, as amended, Grant AID/csd-1939 in the amount of \$1,800,000 is made hereby to the Johns Hopkins University. This grant is for the purpose of implementing the project "International Health and Population" in the Department of International Health, as set forth in the final proposal dated April 23, 1968 and agreed to by A.I.D. and the Johns Hopkins University.

Upon acceptance as indicated below, the grant funds shall be obligated as of the date of this letter and shall apply to costs incurred in furtherance of the project for five years.

This grant is made by A.I.D. to the Johns Hopkins University on condition that the grantee shall administer the funds provided under this grant in accordance with the terms and conditions set forth in the final proposal, Special Provisions and Administration of A.I.D. Grants attached hereto and made a part hereof.

Please acknowledge acceptance of this grant by signing the original and six (6) copies of this letter and one copy of the Assurance of Compliance. Please return all documents to the grant officer.

Sincerely yours,



William S. Gaud

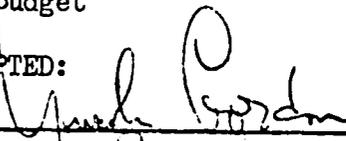
Attachments:

1. Final Proposal
2. Assurance of Compliance
3. Special Provisions
4. Administration of A.I.D. Grants
5. Budget

ACCEPTED:

BY

TITLE



President

THE JOHNS HOPKINS UNIVERSITY

TITLE: A PROGRAM FOR INSTITUTIONAL DEVELOPMENT
IN INTERNATIONAL HEALTH AND POPULATION.

DURATION: JUNE 30, 1968 to JUNE 30, 1973

AMOUNT OF GRANT: \$1,800,000

April 23, 1968

I. EXISTING CAPACITY

The growing importance of population and international health problems in the less developed countries of the world has led Johns Hopkins University to a major concentration in these areas. The Department of International Health of the School of Hygiene has major responsibility for stimulating and coordinating general University involvement in international activities. To further develop university competence this proposal for institutional support is submitted to AID.

Until the Johns Hopkins Division of International Health was established in 1961 with AID support, there was not a single institution in the U.S. which had an organized faculty unit in international health. The Division has demonstrated a growing commitment to the problems of the less developed countries and its capacity to do research and teaching both in Baltimore and overseas. The continued expansion and strengthening of this academic base in population and international health will not be possible without long term institutional support. Such support will increase the reservoir of expertise available to the foreign assistance program, provide a sound base for research projects, and serve as a proving ground for new international health curriculum development.

Johns Hopkins has a long history of involvement in international health and population activities with many departments throughout the University having previous and existing commitments and involvement. Because of wide interest throughout the University, the president in 1965 created a Coordinating Committee for university-wide development of international activities. This Coordinating Committee has representation from all schools of the University and from many departments within the schools. It is headed by the academic vice-president, who has the responsibility for coordinating existing international activities, and stimulating new activities.

Historically, the University also has had a strong commitment to population studies, particularly since much of the pioneering work in demography was initiated by men such as Reed and Pearl. New studies of population

dynamics have been developed throughout the University, but they have been centered in and most extensively developed at the School of Hygiene and Public Health. Two years ago, recognizing the need for coordination and stimulation of the University's involvement in the field of population, Dr. Eisenhower, then President of the University, created a University-wide Committee on Population. From the Homewood campus the committee has representation from the Department of Social Relations, Political Economy, Political Science, and Biology in the Faculty of Arts and Sciences, and from the Carnegie Institute. There is also broad representation of the departments concerned with population in the School of Hygiene, particularly from the Department of International Health, and the Division of Population Dynamics of the Department of Population and Family Health. The teaching of population subjects is coordinated by the latter department. Other departments also represented are Biostatistics, Physiological Science, and the Behavioral Sciences. The Medical School is represented by the Department of Obstetrics and Gynecology.

Although the Department of International Health's contribution is by no means limited to stimulating the diverse international activities of other departments, we find that we are, in fact, able to fulfill this role effectively. It has been our experience that a strong academic unit such as ours can produce a synergistic strengthening of the effective participation of the rest of the University.

II. OBJECTIVES AND SCOPE OF GRANT PROPOSAL

A. Objectives

The University plans to strengthen its educational competence by expanding its teaching capacity, curriculum and opportunities for students' practical experience in international health, population dynamics and family planning as related to the needs of the less developed countries.

Further development of research capability in these fields will be an integral part of the institutional grant program, and will be closely

related to the educational activities.

B. Scope

Under the above general objectives the following examples are illustrative of the kinds of activities contemplated. The relative attention given to particular areas will depend on priority considerations relevant at particular times. We are convinced that selectivity in choosing high priority areas is essential. It also is increasingly evident that we can achieve much mutual strengthening between disciplines by working simultaneously in the various related fields.

1. Development of Research Competence

The scope of research activities will cover subjects such as:

- a. Learning more about, and applying the developing methodology of health planning both in comprehensive national health planning and population and family planning.
- b. Exploring in depth ways of developing better rural health services at reasonable cost and conducting field trials of varied administrative patterns in running family planning programs.
- c. Increasing understanding of ways in which socio-cultural factors influence the acceptance of family planning and health programs, and more specifically, studying the attitudes of males toward family planning in Latin America.
- d. Beginning studies on the interactions between health, population growth, and economic development.
- e. Developing international comparative studies on epidemiologic analysis of health and nutritional status.
- f. Improving the methodology of evaluating family planning programs.
- g. Developing methodology and conducting studies applying operations research to population and health problems.

2. Development of Educational Competence ✓

A major obstacle to effective U.S. assistance to the developing countries in the field of population and health is the lack of understanding of the special problems of economic development and overseas work among American health professionals. The usual medical education and experience of the American physician and other health workers does not include opportunities to gain comprehension of the drastically different living conditions and massive health problems of most of the world's people, especially in tropical areas.

In the further development of our department as a major academic center for teaching international health and population we will work toward strengthening activities such as:

- a. Organization of rigorous academic programs for doctoral candidates and residents.
- b. Opportunities for career specialization in population and international health for students who are taking a general masters program in public health.
- c. Elective courses in population dynamics and international health for master's students specializing in other areas of public health.
- d. Short courses for specialized groups.
- e. The preparation of teachers of community medicine for overseas medical schools and working with selected medical schools in developing new educational approaches to the introduction of family planning in medical education.
- f. New approaches to the preparation of paramedical and auxiliary health personnel and their utilization in health and family planning programs.

3. Organizational and Functional Structure in University

In anticipation of institutional development support the University upgraded the Division of International Health in 1967 to full departmental status. Most of the support from this grant will be channelled directly into strengthening the activities of the Department of International Health. In addition, as much as one third of the population part of this grant will be used to strengthen other departments. Salary support will be provided to increase faculty strength in the Department of Population and Family Health, to demographers in the Department of Biostatistics, and to faculty members from Behavioral Sciences and Economics. In all such relationships we make much use of the mechanism of joint appointments between departments, in order to maintain active communication and liaison. As indicated above, the coordination of these activities is through the two university-wide committees on "International Activities" and "Population."

4. Proposed Utilization of New Competence

Judging from our past experience the prospects of rapid utilization of increasing faculty competence to meet the needs of less developed countries are extremely good. As this competence increases, we will have greater ability to develop a continuing group of consultants as a resource for AID, and other international agencies, individual countries, and private groups such as missions and foundations. The pressure for expanded educational opportunities are great, with increasing numbers of well prepared and highly motivated professionals seeking preparation in these fields of international work.

We are also impressed with the prospects of rapid implementation of research findings. Most of our projects have been particularly fruitful in the degree and speed with which findings were incorporated in local services. Our greatest success comes when the projects are considered by local professionals to be more their projects than ours. With long-term institutional support this attitude can be encouraged.

III. OPERATIONAL PLAN

Long term institutional support will allow the Department to extend its plans for a broader multidisciplinary effort than was previously possible. Advances in international health and population will require the talents of specialists in subjects ranging from epidemiology and laboratory sciences, to economics, social sciences, demography, and operations research. Highly competent specialists in such a diverse range of fields cannot be assembled to work effectively together on an ad hoc or intermittent basis. The productive innovations that come from sharing skills do not automatically happen, they have to be built carefully and deliberately over time. Expanding this multidisciplinary approach will be accomplished by adding faculty members who will have joint appointments with other departments and schools of the University.

We visualize a progressive shifting of our activities toward population related activities in accordance with the ratio of support in this grant. Many of our international health projects and educational programs have direct relevance to population and family planning and these components will be expanded and strengthened. Plans have been made for closer relationship and increased collaboration with the Department of Population and Family Health with some of the support from this grant going directly to that department.

In our attempts to develop innovative approaches to the educational challenges facing us we expect to improve the basic curriculum in international health through experimentation and course evaluation. Teaching activities are increasingly concentrating on developing long term programs for career development. We find that for true professionalization of leaders, programs such as our 3-year residencies and doctoral programs will be given special attention - curriculum, field work overseas, and practical opportunities for discussing new concepts. We also expect to strengthen the regular courses for master's level students in order to reach larger numbers.

Short-term esoteric research done mainly for scientific interest in a regular academic department tends to have only incidental benefit for the developing countries. Existing and future Johns Hopkins long-term overseas relationships will be oriented toward field studies focused on practical local needs. We expect to consolidate our overseas activities in a few specific bases and will have to devote attention in the immediate future to stabilizing such relationships. Perhaps the greatest benefit to less developed countries comes from the improvement of understanding and professional expertise among the foreign nationals with whom we work. Development of local confidence greatly facilitates the practical arrangements and negotiations for our field work.

Many of the research and educational subjects which have been cited to illustrate our possible range of activities are already well developed. No precise timetable can be presented for our operational plan since the particular activities will be pressed forward as personnel and opportunities become available.

Institutional Development Grant

SPECIAL PROVISIONS

A. Allowable Costs

In accordance with Grantee normal accounting practices, the Grantee shall be reimbursed for direct costs incurred in carrying out the aims of this Grant. It is mutually understood and agreed, unless otherwise provided herein, that the Grantee will not allocate any costs to this Grant, which are normally charged as indirect costs in accordance with the Grantee's normal accounting practices. The following costs are unallowable for reimbursement under this Grant: Advertising, bad debts, contributions, donations, entertainment and interest.

B. Foreign Country Nationals

When authorized in writing by the Grant Officer, the Grantee shall be reimbursed for the costs of bringing foreign country nationals to the Grantee institution for purposes of consultation in furtherance of the objectives of this grant.

C. Salaries

All salaries, wages, fees, stipends and allowances reimbursed under this Grant shall be in accordance with the Grantee's usual policy and practice.

D. Procurement of Equipment, Materials and Supplies

Except as may be specifically approved or directed in advance by the Grant Officer the source of any procurement financed under this grant by United States dollars shall be the United States and it shall have been mined, grown, or through manufacturing, processing, or assembly produced in the United States. The term "source" means the country from which a commodity is shipped to the Cooperating Country or the Cooperating Country if the commodity

is located therein at the time of purchase. If, however, a commodity is shipped from a free port or bonded warehouse in the form in which it is received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse.

In addition to the foregoing rule, a product commodity purchased in any transaction will not be eligible for U.S. dollar funding if:

(1) It contains any component from countries other than Free World countries, as listed in A.I.D. Geographic Code 899: or

(2) It contains components which were imported into the country of production from such Free World countries other than the U.S.; and

(a) such components were acquired by the producer in the form in which they were imported; and

(b) the total cost of such components (delivered at the point of production) amounts to more than 10%, or such other percentage as A.I.D. may prescribe, of the lowest price (excluding the cost of ocean transportation and marine insurance) at which the supplier makes the commodity available for export sale (whether or not financed by A.I.D.).

E. Regulations Governing Employees Performing Work Overseas

(1) Approval. No individual shall be sent outside of the United States by the Grantee to perform work under the grant without the prior written approval of the Grant Officer; nor shall any individual be engaged outside the United States or assigned when outside the United States to perform work outside the United States without such approval unless otherwise provided in the Schedule or unless the Grant Officer otherwise agrees in writing.

(2) Conformity to Laws and Regulations of Cooperating Country. Grantee agrees to use its best effort to assure that its personnel, while in the Cooperating Country, will abide by all applicable laws and regulations of the Cooperating Country and political sub-divisions thereof.

(3) Sale of Personal Property or Automobiles. The sale of personal property or automobiles by Grantee employees and their dependents in the Cooperating Country shall be subject to the same limitations and prohibitions which apply to direct-hire A.I.D. personnel employed by the Mission.

(4) Conflict of Interest. Other than work to be performed under this grant for which an employee or consultant is assigned by the Grantee, no regular or short term employee or consultant of the Grantee shall engage, directly or indirectly, either in his own name or in the name or through the Agency of another person, in any business, profession, or occupation in the Cooperating Country or other foreign countries to which he is assigned, nor shall he make loans or investments to or in any business, profession or occupation in the Cooperating Country or other foreign countries to which he is assigned.

(5) Right to Recall. On the written request of the Grant Officer or of a cognizant Mission Director, the Grantee will terminate the assignment of any individual to any work under the grant, and, as requested, will cause the return to the United States of the individual from overseas or his departure from a foreign country or a particular foreign locale.

(6) Travel and Transportation Expenses. The Grantee agrees to use less-than-first-class transportation unless such use will result in unreasonable delay or increased costs, and to travel by the most direct and expeditious route.

(7) Limitation on Transportation

(a) International Air Transportation. All international air travel under this grant shall be made on United States flag carriers. Exceptions to this rule will be allowed in the following situations provided that the Grantee certifies to the facts in the voucher or other documents retained as part of his grant records to support his claim for reimbursement and for post audit:

(i) where a flight by a United States carrier is not schedule to arrive in time for the conduct of official business;

(ii) where a flight by a United States carrier is scheduled but does not have accommodations available when reservations are sought;

(iii) where the departure time, routing, or other features of a United States carrier flight would interfere with or prevent the satisfactory performance of official business;

(iv) where a schedule flight by a United States carrier is delayed because of weather, mechanical or other conditions to such an extent that use of a non-United States carrier is in the Government's interest;

(v) where the appropriate class of accommodations is available on both United States and non-United States carriers, but the use of the United States carrier will result in higher total United States dollar cost to the grant due to additional per diem or other expenses; and

(vi) where the appropriate class of accommodations is available only on a non-United States carrier and the cost of transportation and related per diem is less than the cost of available accommodations of another class on a United States carrier and related per diem.

All international air shipments under this grant shall be made on United States flag carriers unless shipment would, in the judgment of the Grantee, be delayed an unreasonable time awaiting a United States carrier either at point of origin or transshipment, provided that the Grantee certifies to the facts in the vouchers or other documents retained as part of the grant records to support his claim for reimbursement and for post audit.

(b) International Ocean Transportation. All international ocean transportation of persons and things which is to be reimbursed in United States dollars under this grant shall be by United States flag vessels to the extent they are available.

(i) Transportation of Things. Where United States flag vessels are not available, or their use would result in a significant delay, the Grantee may obtain a release from this requirement from the Resources Transportation Division, Agency for International Development, Washington, D.C., 20523, or the Mission Director, as appropriate, giving the basis for the request.

(ii) Transportation of Persons. Where United States flag vessels are not available, or their use would result in a significant delay, the Grantee may obtain a release from this requirement from the Grant Officer or the Mission Director, as appropriate.

(c) Transportation of Foreign-Made Motor Vehicles. Unless otherwise authorized by the Grant Officer or the Mission Director no reimbursement will be made for the costs of transportation of any foreign (non-United States) ~~made~~ motor vehicle between the United States and the Cooperating Country or any intermediate points. Authorization of the transportation of foreign-made motor vehicles will be granted by the Grant Officer or Mission Director in accordance with the Uniform State/AID/USIA Foreign Service Travel Regulations, as from time to time amended.

(8) Conversion of United States Dollars to Local Currency. Grantee agrees to convert all United States dollars to local currency through the United States Disbursing Officer, American Embassy, unless the Disbursing Officer certifies that no local currency is available.

(9) Travel Funded by Local Currency. Travel to certain countries may, at A.I.D.'s option, be funded from U.S.-owned local currency which A.I.D. has determined to be in excess of its needs. To provide such funds, A.I.D. will issue Government Transportation Requests for authorized international travel of personnel employed under this grant. When A.I.D. intends to exercise this option, the Grant Officer will so specifically state in the written authorization required in the Special Provision of this Grant entitled "Regulations Governing Employees Performing Work Overseas".

F. Grant Officer

All correspondence dealing with the terms and conditions of any part of this Grant shall be directed to the Grant Officer, Office of Procurement, Contract Services Division, A.I.D. All other correspondence pertaining to this

grant shall be directed to the Director, Research and Institutional Grants Staff, Office of the War on Hunger, (WOH/RIG), A.I.D.

DATE **FUNDS AVAILABLE**
JUN 4 1968

OBLIGATION NO. 3180026

ALLOTMENT NO. 854-31-099-00-34-81

AMOUNT 1,500,000.00

By (initials) [Signature]

G. Federal Reserve Letter of Credit

Subject to the determination of the Assistant Administrator for Administration that the opening of a Federal Reserve Letter of Credit is in the public interest, and subject to the conditions hereinafter set forth, the Agency for International Development shall open a Federal Reserve Letter of credit in the amount of \$1,800,000.

against which the Grantee may present sight drafts according to the "FRLC Procedures for Grantee" set forth below. The amount drawn down by each sight draft: (i) shall be only for current allowable cash expenditures necessary for performance of the Grant; (ii) normally shall not be less than \$10,000; and (iii) shall not exceed the anticipated amount of expenditures which will be made during the seven calendar days following the date of presentation of such sight draft, less the amount, if any, unexpended from previous sight drafts presented, and less disallowance, if any, reported by A.I.D. to the Grantee.

1. In no event shall the accumulated total of all such sight drafts exceed the amount of the FFLC as it may be amended.

2. If at anytime the Grant Officer determines that the Grantee has presented sight drafts in excess of the amount or amounts allowable by this clause, (i) the Grant Officer may cause to have suspended or revoked the Federal Reserve Letter of Credit until such time as in his judgement an appropriate level of actual, necessary, and allowable expenditures has occurred or will occur under this Grant, or (ii) upon

request of A.I.D. the Grantee shall repay to A.I.D. the amount of such excess and shall repay the amount of any final disallowance of cost resulting from the final audit of the Office of the Controller, A.I.D.

3. The Grant Officer may terminate this Federal Reserve letter of Credit at any time he determines that such action is in the best interest of the Government.

4. FRLC PROCEDURES FOR CONTRACTOR

a. Discusses FRLC with commercial bank of his choice for operating under this arrangement and obtains name and address of Federal Reserve Bank serving that commercial bank. Gives name and address of both banks to Grant Officer.

b. Upon receipt of original and one copy of FRLC from A.I.D. affixes specimen signature(s) of officials authorized to sign drafts against FRLC. Returns these to Office of Controller, Financial Review Division, A.I.D.

c. Sight drafts against FRLC should not be presented until commercial bank notifies Grantee that the FRLC has been opened.

d. As funds are needed, prepares and signs sight drafts (SF-218) in original and three copies. Presents original and one copy to commercial bank. Retains two copies.

e. If notified by A.I.D. of a disallowance of cost incurred, reduces the amount of the next sight draft by the amount of such disallowance, and notes the adjustment on the sight draft as follows:

(a) Projected amount of sight draft before disallowance	\$ _____
(b) Less amount of disallowance per A.I.D. Letter of _____	\$ _____

(c) Net amount of this sight draft \$ _____

f. Every three months, submit to the Office of Controller, Financial Review Division, A.I.D., a periodic report of FRLC utilization and expenditures, and copies of sight drafts in the following format:

Federal Reserve Letter of Credit No. _____

1. Total amount of FRLC \$ _____
2. Sight drafts presented against FRLC
 - a. Credited prior to reporting period \$ _____
 - b. Credited during reporting period \$ _____
 - c. Presented but not credited \$ _____
3. Balance available in FRLC \$ _____

g. Should the Grantee not submit the reports and documentation required by Paragraph f next above within 30 days of their due date, A.I.D. will suspend FRLC credits due the Grantee under this Grant until the delinquency is satisfactorily resolved.

ADMINISTRATION OF A.I.D. GRANTS

I. Adherence to Aims

The Grantee is responsible for adherence to the conditions of this grant. Although the Program Director is encouraged to seek the advice and opinion of the Agency for International Development (A.I.D.) on special problems that may arise, such advice does not diminish Grantee's responsibility for making sound technical and administrative judgments. If a deviation from the grant is contemplated, written approval must be obtained from the Grant Officer, Office of Procurement, Contract Services Division, A.I.D.

II. Grant Instrument

The letter to the Grantee, signed by the Administrator, Agency for International Development; the signed acceptance of that letter; the final Proposal as agreed; and the attachments thereto, constitute the instrument for the Grant Agreement. The Grant Agreement may be amended by means of an exchange of letters between the A.I.D. Grant Officer and an appropriate official of the institution.

III. Adherence to Budget

A. In no case may the Grantee exceed the total amount of the grant. If additional funds to conduct the project are required, a request to this effect should be submitted to the A.I.D. Grant Officer, who may approve the request by amending the grant to provide additional funds after consultation with WOH/RIG.

B. Any unexpended funds remaining after the expiration of the grant period shall be refunded to A.I.D. by the Grantee.

C. Adjustments within the line items of this grant are unrestricted.

IV. Termination

This grant may be terminated or canceled by the Grantee institution not less than six months after written notification to A.I.D. The grant may be revoked or terminated by the A.I.D. Grant Officer upon six months notice, whenever it is deemed that the Grantee institution has failed in a material respect to comply with the terms and conditions of the grant or for the convenience of the Government. Upon transmittal or receipt of notice of termination, Grantee shall take appropriate action to minimize all expenditures and obligations financed by this grant and shall cancel such obligations wherever possible. Within 90 days after the effective date of termination, the Grantee shall repay to A.I.D. all unexpended funds which are not otherwise obligated by a legally binding transaction within the purpose of the grant. If additional funds are required to conclude such legally binding transactions incurred prior to the termination, the Grantee may submit a written claim for such funds to the A.I.D. Grant Officer within 90 days after the effective date of the termination. The Grant Officer shall determine the amount to be paid by A.I.D. to the Grantee under each claim.

V. Graduate Students

A. The Grantee institution has the responsibility for the selection of students to be trained under this grant. Students receiving support under this program do not incur any formal obligation to the Government of the U.S., nor are they required to perform any work which is not an integral part of the training program.

B. Students will be granted stipends and allowances as set forth in the Special Provisions. Stipends and/or dependency allowances for training under A.I.D. grants may not be received concurrently with other Federal educational stipends or benefits.

VI. Equal Employment Opportunity

In accordance with Title VI of the Civil Rights Act of 1964, no applicant may be denied consideration or appointment under this program on grounds of race, creed, color, sex, or national origin. An Assurance of Compliance with this provision shall be submitted by the Grantee to A.I.D. with the letter of acceptance.

VII. Publications

A. As agreed upon by A.I.D. and the Grantee, appropriate acknowledgment of A.I.D.'s support must be made in connection with the publication of any material based on, or developed under, projects financed in whole or in part by A.I.D. The acknowledgment should also state that the information and conclusions in the paper do not necessarily reflect the position of A.I.D. or the U.S. Government.

B. Three copies of all dissertations. These and other publications resulting from work under this grant shall be furnished to WOH/RIG upon publication.

C. When the cost of publishing material is provided for in the A.I.D. grant, any royalties or profits up to the amount charged to the grant for publishing the material shall be returned to A.I.D. Any copyrights or patents

shall be in the name of the Grantee. However, the Government shall have a royalty-free irrevocable right for the use of all publications produced or composed under this grant.

VIII. Accounting, Records, and Audit

The financial records, including documentation to support entries on the accounting records and to substantiate charges to the grant, shall be kept in accordance with the institution's usual accounting procedures and must be readily available for examination by A.I.D. The Comptroller General of the United States and his representatives shall have the same rights of examination. No such records shall be destroyed, or otherwise disposed of, within three years after termination of the project. However, all records must be retained until an audit has been completed and all questions about expenditures resolved, unless written approval has been obtained from the A.I.D. Grant Officer to dispose of the records. A.I.D. follows generally accepted auditing practices in determining that there is proper accounting and use of grant funds.

IX. Equipment

Title to equipment purchased with grant funds resides with the Grantee institution. The equipment must be used during the project period for activities furthering the purpose of the program for which it was purchased. Grants may not be used for new construction.

X. Reports

A. Technical Reports

The Grantee shall submit three copies of a technical report to WCH/RIG at least annually, unless otherwise provided in the Special Provisions comprising a concise statement of accomplishments during the reporting period and recommendations and conclusions based on the experience and results obtained. The first such technical report is due 12 months after the effective date of this grant. Three copies of a final technical report shall be submitted within six months after the expiration or termination of the grant. It shall include a statement of major accomplishments under the grant, the number of degrees granted, a bibliography of publications produced as a result of the work under the grant, and sufficient data for evaluation of progress in all aspects of the project.

B. Fiscal Reports

The Grantee shall submit three copies of a semiannual fiscal report beginning six months after the effective date of the grant to the A.I.D. Grant Officer. This report shall include a summary by line item (See Budget) of how much has been spent during the reporting period on an accrued basis and how much has been spent cumulatively. Two copies of a final fiscal report shall be submitted within 90 days after the expiration or termination of the grant. The final report shall include a summary by line item of all funds expended under the grant.

XI. Nonliability

A.I.D. does not assume liability with respect to any claims for damages arising out of work supported by its grants. The Grantee institution shall obtain adequate liability insurance or other protection.

XII. Military Service

A.I.D. will not intercede for any individual in relation to his military status. An educational stipend may be continued for a period not to exceed 15 days in any one year in which the trainee is on active military duty.

XIII. Visa Status of Non-U.S. Citizens

A.I.D. will not intercede on behalf of non-U.S. citizens participating in a project when the stay of such noncitizens in the U.S. may be affected by their visa status. It is the responsibility of the Grantee institution to establish, before accepting a noncitizen, that his visa allows him to remain in the country a sufficient length of time to be productive on the project.

XIV. Officials Not to Benefit

No member of or delegate to the Congress or resident Commissioner shall be admitted to any share or part of the 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.

XV. Covenant Against Contingent Fees

The Grantee warrants that no person or selling agency has been employed or retained to solicit or secure this grant upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee except bona fide employees or bona fide established commercial or selling agencies maintained by

the Grantee for the purpose of securing business. For breach or violation of this warranty, A.I.D. shall have the right to cancel this grant without liability or, in its discretion, to deduct from the grant amount, or otherwise recover, the full amount of each commission, percentage, brokerage, or contingent fee.

XVI. Assignment of Claims

A. Pursuant to the provisions of the Assignment of Claims Act of 1940, as amended (31 USC 203, 41 USC 15), if the grant provides for payments aggregating \$1,000 or more, claims for monies due or to become due the Grantee from the Government under this grant may be assigned to a bank, trust company, or other financing institution including any Federal lending agency, and may thereafter be further assigned and reassigned to any such institution. Any such assignment or reassignment shall cover all amounts payable under the grant and not already paid and shall not be made to more than one party, except that any such assignment or reassignment may be made to one party as agent or trustee for two or more parties participating in such financing.

B. In no event shall copies of any documents relating to the grant project, if marked "Top Secret", "Secret", or "Confidential", be furnished to any assignee of any claim arising under the grant or to any person not entitled to receive the same. However, a copy of any part or all of the grant so marked may be furnished, or any information contained therein may be disclosed, to the assignee upon proper written authorization of the Grant Officer.

XVII. Convict Labor

In connection with the performance of work under this grant, the Grantee agrees not to employ any person undergoing sentence or imprisonment of hard labor.

XVIII. Notices

Any notice given by any of the parties hereunder shall be sufficient only if in writing and delivered to the following:

To A.I.D.: Grant Officer
Office of Procurement
Contract Services Division
Agency for International Development

XVIX. Administrative Review

The parties agree that, if after reviewing the fiscal reports or other cost data, it is determined by the Administrator of A.I.D. that funds provided under the Grant have been expended for purposes not in accordance with the terms of the Grant, the Grantee will credit such amounts to the corpus of the Grant

BUDGET

Salaries	\$1,347,000
Pilot and Student Projects	69,000
Fellowships	190,000
Travel	100,000
Other Direct Costs	<u>94,000</u>
TOTAL	\$1,800,000

ASSURANCE OF COMPLIANCE WITH THE AGENCY FOR INTERNATIONAL
DEVELOPMENT REGULATION UNDER TITLE VI OF
THE CIVIL RIGHTS ACT OF 1964

The Johns Hopkins University (hereinafter called the "Applicant")
(Name of Applicant)

HEREBY AGREES THAT it will comply with title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the Agency for International Development (22 CFR Part 209, 30 FR 317) issued pursuant to that title, to the end that, in accordance with title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Agency; and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant by the Agency, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the Federal financial assistance is extended to it by the Agency.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Applicant by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Applicant.

Dated June 13, 1968

The Johns Hopkins University
(Applicant)

By Lucien Jordan President
(President, Chairman of Board, or
comparable authorized official)

Homewood House

Baltimore, Maryland 21218
(Applicant's mailing address)