XD-AAJ-063-1

IV. THE BATTELLE PROJECT IN SUDAN

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Allen Kelly
July 1981

History and Focus

PDP II is in the early stages in Sudan. The subcontract for the core project has not been finalized. In examining the project, the evaluators looked primarily at inputs rather than outputs. Given the information available, they could make only a guarded assessment of the quality and impact of the project and the likelihood that it will be completed.

Considering the context of the evaluation, the team raised an important question about PDP II: What are, and what should be, the outputs of the project? A general objective is to organize and sponsor "research activities" that create an environment, and, it is hoped, specific actions, for informed population policy and programming. But it is difficult to identify the specific activities that would ensure that this goal is reached. On the one hand, the most measurable outputs are the research papers from the core project and the various outputs from dissemination activities (newsletters, symposia, seminars, etc.). On the other hand, the least measurable, but by no means unimportant, outputs have to do with the many activities and institutional arrangements to implement the core project. For example, the country might be assisted to formulate a coordinated population policy (via research in this case) and to bring together and legitimize groups of persons who are interested in population so that they enjoy greater political support and influence. Efforts to achieve both of these aims are and should be part of the Battelle project. To evaluate the PDP II project in Sudan, the team had to do more than examine easily measured contract deliverables. The evaluation presented an opportunity to undertake a useful case study, not only of the specific outputs of the project, but also of some unspecified outcomes that may lead to a change in population policy.

Several specific activities have been completed. Three trips have been made to Sudan to gather information to formulate a country strategy paper; to identify a sponsoring organization for the core project; to identify specific topics, papers, authors, and commentators; and to structure a format for various dissemination activities. A strategy paper has been written and approved by AID/W. A subcontract has been negotiated and approved by the sponsoring organization, the Economic and Social Research Council, Battelle, the Population Policy Division at AID/W, and AID/Khartoum (AID/K). The contract is projected to begin in August or September, 1981, pending successful processing and approval from the Contracts Office, AID/W.

Several activities are examined below. The author discusses how these activities have or have not contributed to the accomplishment of the project's goals. He also speculates on the likelihood that the core project will be completed on time, attempts to assess the quality of the project, and suggests how this and other PDP II activities might have a lasting effect on Sudan's population policy.

Country Strategy Paper

The strategy paper for Sudan is unusually complete, and the writers are especially perceptive in evaluating the country's demographic problems, both those perceived by the Sudanese and those recognized by AID/K. The key demographic problems of infant and child mortality and internal and international migration are highlighted. The growing role for family planning and the increasing interest in the role of women are identified as secondary but important themes. The need for a data base to analyze all these areas for planning is documented appropriately.

The strategy is not to push directly and aggressively for fertility control, but to work indirectly by coordinating family planning through programs that improve the qualify of life. This strategy seems to be appropriate, given the political and economic environments in Sudan today. Labor shortages are a major concern of the government; the agricultural sector particularly needs more laborers. Mortality is high and the productivity of the population is low. An alternative population strategy which strongly emphasizes the reduction of fertility would not only receive an unsympathetic response from the government, but it also might damage efforts to formulate a coordinated population policy which includes family planning. An integrated, gradual approach to the development of a population policy for Sudan appears to be the best choice for the country at this time.

The Core Project

All the research studies in the core project relate well to the themes articulated in the country strategy paper.

The team interviewed several persons who have been identified as possible writers for research studies. These people appear to be well qualified to write on the assigned topics. In the team's judgment, they are likely to deliver papers of acceptable quality and on time.

Some of the authors have begun and others have completed portions of their research. One person is condensing (and perhaps extending) earlier work (a Ph.D. thesis); in another study, the writer intends to

document recent experience with an integrated primary health care and family planning program. In several instances, the products will constitute not so much new and original work as the collection of papers with a common theme: an integrated population policy for Sudan. One purpose of the papers is to increase the visibility of individual research which otherwise would reach only small and specialized audiences.

Those who have been selected to comment on the papers will work well with the writers. There have been instances in the past when collaboration (informal and formal) occurred. Thus, although no new collaboration will occur during PDP II, the work will be focused on a new theme: population.

The collection of core research papers is not likely to result in a notable contribution to the body of knowledge. Moreover, some of the research would have been done (some already has been done) under other auspices. Nevertheless, the core project will sponsor several new studies, bring together work that has already been done, and package research with a visible population theme. It is for these reasons that PDP II is a useful effort.

Sponsoring Organization

The Economic and Social Research Council was selected to be the sponsoring organization; it appears to be well suited to the task. It has a respectable record of carrying out and completing research, and it is plugged into various private and public agencies that are associated with Sudanese and international research activities.

The director of the ESRC spent several days with Battelle's representative to work out the details of the core project. He is thoroughly familiar and is identified with the project. He has already contacted informally several of the authors and commentators.

Earlier population research by the ESRC was focused primarily on migration. By sponsoring PDP II, the ESRC will be broadening its portfolio of research in the field. This will be a useful outcome, because the project not only will associate a respectable research organization with a broadened agenda of population studies, but it also will establish a set of additional contacts and build on interests in population research which should have some lasting effect.

The starting date for the core project, July 1, has been delayed. The ESRC learned of this delay only in late June. The organization was not only surprised, but also angered and embarrassed. "Informal" commitments had already been made; some of the research had begun; momentum was building. Much momentum was lost when Battelle informed the ESRC of the

delay. In the words of a key official, "Unless this contract is signed soon, the reputation of ESRC will be tarnished and the momentum of this project will be significantly set back."

(Since returning from Khartoum, the team has identified the causes for the delay in implementing the contract. The primary difficulty is that a large number of major competing projects has been assigned to the person at Battelle who is in charge of PDP II. She had been managing or has been actively involved in three or four competing efforts at the same time. Each project has required extensive travel and urgent attention. Time constraints, despite extremely long working hours, have made it impossible to complete all the projects on time. PDP II programming slipped several weeks during the period.)

Dissemination Activities

It is difficult to appraise the effectiveness of the dissemination activities because, at this time, there are no specific outcomes. In reviewing the plan of work, however, the team found reason to doubt that the projected activities are appropriate and will be concluded successfully.

National Population Committee

A National Population Committee has been formed but has not yet convened. This committee, if it becomes effective and lasts, could help to sponsor population activities in Sudan. Its mandate explicitly downplays the "quantity" of population as an issue; instead, those aspects of demographic change which relate to a population's "quality" are emphasized. This emphasis reflects the sensitivity of Sudanese to population control and recognition that numbers are not the primary problem in population. Migration and low-labor productivity in relation to high mortality are major concerns. It is likely that the issue of population size will emerge during discussions and programming. But reorientation must evolve to be consistent with the acquisition of more knowledge about population problems. (Both Battelle and The Futures Group could be instrumental in reorienting thinking.) The Committee is composed of a broad group of Sudanese leaders concerned with population. It could be instrumental in effecting changes in population policy in the future.

The leadership of the Committee is closely allied to the participants in the Battelle project, as well as those at the ESRC. Consequently, it is even more important strategically as a sponsoring organization. Indeed, it is not unlikely that Battelle research papers will be presented at an early meeting of the group. It is also possible that at a later time the Committee might host a RAPID presentation, although timing this would be problematical.

This background puts in context a potentially important "output" of the Battelle project, one which is not easily measured and one which is associated with the inputs to develop the core research project. It was pointed out to the team that the stimulus for activating the Committee on Population was influenced by visitors, including, to paraphrase one observer, "those women [Battelle representatives] going all over town asking, 'What is your population policy?' and, when finding that there was none, asking, 'When will a National Population Committee be formulated?'" Given the limited evidence available, the team would not want to overemphasize the importance of this statement. If it is true, however, then the project has already made a significant--and perhaps one of its greatest--long-term contributions.

Even if the episode is exaggerated, it exemplifies well Battelle's role in coordinating and focusing the interests and efforts of busy people and organizations around the theme of population. By diverting the attention of these persons and organizations from competing activities to population, by bringing people together in support groups (e.g., the National Population Committee), and by strengthening programs (e.g., the ESRC), Battelle is building an important structure within which population "activists" (primarily, family planners and clinicians) can exert their influence.

Logistics and Administration

The Battelle group has worked well with the mission. Battelle has coordinated well, has been sensitive to the demands on the time of the mission, has helped the mission in a variety of ways to conduct its activities, and has established a viable, long-term working relationship.

Staff from Battelle have visited Sudan for sufficiently lengthy periods to ensure that programming is productive. The success of the project to date has been influenced heavily by the results from the initial fact-finding mission during which two representatives from Battelle spent two weeks in Sudan. This "team" approach is highly productive. The two weeks spent in Sudan constituted minimum time required for such a trip. If trips are brief and made only for highly specific reasons, staff do not have opportunities to become informed about local conditions and options. Nor can they build viable relationships with staff at missions and local institutions. Short trips can even be detrimental. These judgments are based on information from the contractor, the mission, individuals who were interviewed, and on the evaluators' own experiences in Khartoum, where they spent almost one week.

Battelle's representatives could have been more successful in developing a more focused and lasting "image" of the PDP II project. They did not leave behind written materials or brochures on the project or their

trip; they sent no follow-up letters after interviews. More than once the team had to explain the project to persons who earlier had been contacted by Battelle. Many of the persons with whom the team talked are extremely busy and are inundated with visitors. Battelle's representatives should recognize that if specific action is not taken to maintain visibility, Battelle is apt to have little effect in Sudan. To successfully build a project such as PDP II, extensive communication and salesmanship are required. Specific administrative and promotional procedures can easily be developed to ensure that a positive image is created.

The representatives from Battelle could have been more sensitive to the extremely complex relationships among the various organizations and individuals. Bosses should be informed of planned discussions with and outcomes of conversations with subordinates. Written follow-up letters may be a solution. Follow-up letters about the interviews also might be useful products that fulfill the "formal" requirements which some perceive are important to the development of PDP II. It takes skill and talent to identify the potential problems in interpersonal relationships and interorganizational structures and to deal appropriately with those problems. Battelle's representatives, although they have done a superb job of representing themselves personally, must be careful to adopt procedures that facilitate organization-building in the host country. The staff could write some guidelines on how best to anticipate interorganizational and interpersonal problems. Such guidelines would be useful because PDP II depends heavily on building infrastructures and coordinating groups and individuals.

Conclusions

The contractor appears to be meeting well the objectives of PDP II in Sudan. There seem to be more administrative than substantive problems, and these can be corrected easily and avoided in the future by thinking ahead and appropriately planning projects. For the money invested, the benefits of the project--influencing population policy and programming in Sudan--are likely to outweigh costs.

APPENDICES

Appendix A

CONTACTS AND INTERVIEWS
(Brazil, Honduras, and Sudan)

Appendix A

CONTACTS AND INTERVIEWS
(Brazil, Honduras, and Sudan)

1. Brazil

Interviews in U.S.

Elza Berquo, Demographer, Brazilian Center for Analysis and Plannin (CEBRAP), São Paulo, Brazil

Manuel Costa, Director, Special Projects Division, Brazilian Institute of Geography and Statistics (IBGE), Rio de Janeiro, Brazil

Thomas Merrick, Director, Center for Population Research (CPR), Georgetown University, Washington, D.C.

Sam Taylor, Social Development Attaché, USAID Mission, Brasilia, Brazil

Interviews in Brazil

Roberto Alcantara, Adviser, Secretariat of Social Assistance, Ministry of Social Welfare, Rio de Janeiro, Brazil

Jose M. Arruda, Assistant to the Director, Brazilian Society for Family Welfare (BEMFAM), Rio de Janeiro, Brazil

2. Honduras

Family Planning Association of Honduras (ASHONPLAFA)

Rigoberto Alvarado, Member, Board of Directors, and RAPID Presenter (formerly Vice Minister of Health)

Alejandro Flores, Executive Director

National Planning Council, Government of Honduras (CONSUPLANE)

Rodolfa Aplicano, Coordinator, Population Unit, Department of Statistics, and RAPID Presenter

Luz Estela Sarmiento, Director, Department of Statistics

Margarita Suazo, Demographer, Population Unit, Department of Statistics, and RAPID Presenter

Advisers in Development (ASEPADE)

Nora de Martinez, Executive Director

National Council of Campesinos of Honduras (ANACH)

Antonio Julion Mendez, President, and Pinu Party Representative in Assembly

United Nations Development Program and United Nations Fund for Population Activities (UNDP/UNFPA)

Maria Angelica Marin-Lira, Expert UNFPA Adviser to Population Unit, CONSUPLANE

Jacob Simonson, Project Officer, United Nations Development Program

USAID/Honduras

Jan Gibbiney, Official Translator, AID

John Kelley, Chief, Urban Development Division, and Assistant Director, Human Resources Office

John Massey, Chief, Health and Nutrition Division, Human Resources Office

Kathy Nimmo, Family Planning Contractor, Project Office, Integrated Rural Health, and Translator

Leo Ruelas, Acting Mission Director

John Stone, Assistant Director, Human Resources Office

U.S. Embassy

Ambassador Binns, Ambassador to Honduras

3. Sudan

Ministry of Health (MOH)

Dr. Ali Biely, Deputy Director-General, Rural Health Services

Mr. Hillard Davis, Consultant, Department of Statistics

Ministry of National Planning

Mr. Ali Kuku, Director, Manpower and Population Section

Dr. Abdel Waheb Medawi, Director, Office of the Census

Dr. El Shinnawi, UNDP-IBRD Adviser, Education and Manpower

Dr. Omar El Taj, Director, Department of Statistics

Dr. El Sayed Zaki, Undersecretary for Sectorial Planning

Sudan Family Planning Association (SFPA)

Dr. Abdel Rahman Attabani, President

Dr. Saleh Khogali Ismail, Executive Director

Sudan Fertility Control Association

Dr. Hadi El Zein Nahas

Economic and Social Research Council (ESRC)

Dr. Ibrahim Hassan Abdel Galil, Chairman

Dr. Mohamed Mirghani Abdel Salam, Director

University of Khartoum

Dr. Hamid Rushwan, Faculty of Medicine (Ob/Gyn)

Dr. Abdel Rahman El Tom, Faculty of Medicine (Community Medicine)

U.S. Embassy

Mr. Jack Martin, General Administrative Officer

Dr. Ralph Winstanley, Economics Officer

AID/Khartoum (AID/K)

Dr. Don Dembowsky, Economics Officer

Mr. Jim Graham, Capital Projects Officer

Mr. James Holloway, Acting Head

Mr. Gary Leinen, Health IDI

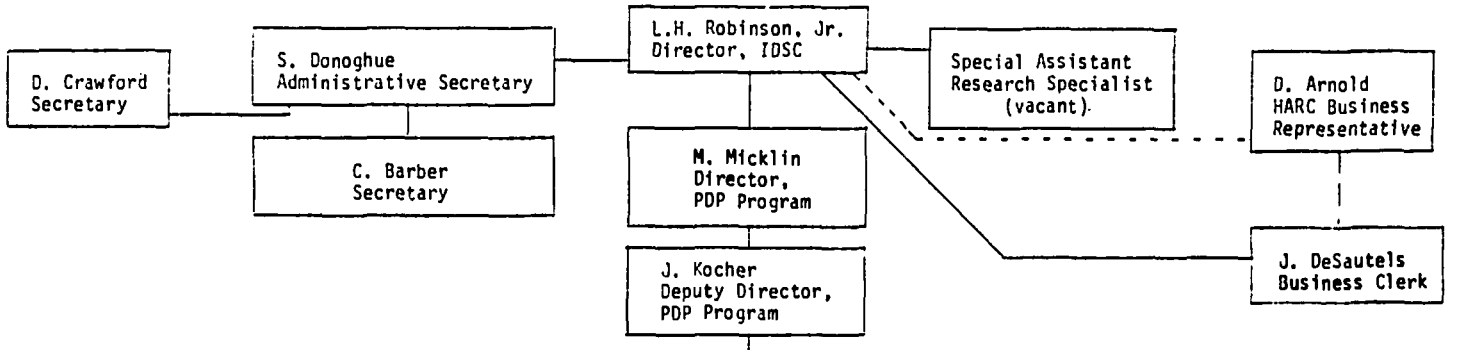
Dr. Mary Ann Micka, Health Officer

Appendix B

ORGANIZATION OF THE HARC AND IDSC

Appendix B

ORGANIZATION OF THE HARC AND IDSC



Research Staff for Latin America

H. Cross
Research Scientist

M. Ebot
Research Scientist

C. Gilley
Research Scientist

M. Micklin
Research Scientist

A. Kubisch
Research Specialist

L. Robinson
Research Specialist

Research Staff for Africa

R. Ahmad
Research Scientist

M. Ebot
Research Scientist

C. Gilley
Research Scientist

J. Kocher
Research Scientist

S. Stout
Research Scientist

A. Kubisch
Research Specialist

L. Robinson
Research Specialist

Research Staff for Middle East

R. Ahmad
Research Scientist

C. Carrino
Research Scientist

H. Cross
Research Scientist

Research Staff for Asia

R. Ahmad
Research Scientist

J. Cheema
Research Scientist

C. Cluett
Research Scientist

J. Kocher
Research Scientist

S. Stout
Research Scientist

L. Robinson
Research Specialist

M. Zimmerman
Research Specialist

Secretarial Support Staff

D. Achterhof C. Barber M. Braun A. Uinger D. Padgug I. Peralta

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IDSC Research Programs

Population and Development Policy, PDP I and PDP II
Africa Population Assistance Research
The Relevance of Social Science Research for Population Policy: Seminar Series

Visiting Scientists and Center Advisers (Proposed)

Dr. Moye Freymann, University of North Carolina
Dr. Gayl Ness, University of Michigan
Dr. Warren Robinson, Penn State University

Appendix C

STAFFING FOR PDP II (P-14465), June 23, 1980 - May 29, 1981

Appendix C

STAFFING FOR PDP II (P-14465), June 23, 1980 - May 29, 1981*

Name	Title	Proposed Budget (Hours)	Actual Hours Through 5-29-81	Percent Budget Spent
W.P. McGreevey	Project Director[1]	267	267.0	100
L.H. Robinson	Deputy Director[2]	2,829	1,193.5	42
M. Micklin	Project Director[3]	3,199	439.0	14
J.E. Kocher	Deputy Director[4]	2,203	--	0
	TOTAL, MANAGEMENT	8,498	1,399.5	22
H.E. Cross	Research Scientist	2,956	1,410.5	48
J. Cheema	Research Scientist	2,126	499.5	23
C. Cluett	Research Scientist	1,155	613.0	53
R.S. Ahmad	Research Scientist	3,028	878.0	29
S.A. Stout	Research Scientist	3,353	1,307.0	39
M.T. Ebot	Research Scientist	3,433	1,200.0	35
M.A. Trott	Research Scientist	899	899.0	100
S.M. Nerlove	Research Scientist	--	72.0	--
Unassigned		2,579	--	0
	TOTAL, RESEARCH SCIENTIST	19,529	6,879.0	35
C.A. Carrino	Research Specialist	3,785	1,052.5	28
A.C. Kubisch	Research Specialist	3,684	1,120.5	30
M.L. Zimmerman	Research Specialist	1,010	94.0	9
C. Gilley	Research Specialist	--	705.5	--
	TOTAL, RESEARCH SPECIALIST	8,479	2,972.5	35
M. Frederick	Research Assistant	--	360.0	--
B. Metch	Research Assistant	--	14.0	--
	TOTAL, RESEARCH ASSISTANT	--	374.0	--
Staff	Secretaries	16,944	4,820.7	28
J.P. DeSautels	Business Clerk	3,870	201.3	5
D.L. Arnold	Business Representative	2,520	500.0	20
Staff	Editing/Word Processing	--	17.4	--
	TOTAL, SUPPORT SERVICES	23,334	5,539.4	24
	TOTAL, PDP II STAFFING	59,840	17,664.4	30

* Percent of time expended: 34 Percent.

[1] Project Director, June 23, 1980 - September 1, 1980.

[2] Deputy Director, June 23, 1980 - August 1, 1981; Acting Director, September 1, 1980 - March 1, 1981.

[3] Research Scientist, June 23, 1980 - March 1, 1981; Project Director, March 1, 1981 - LOP.

[4] Deputy Director, effective August 1, 1981.

Appendix D

BATTELLE EVALUATION: COMPARISON OF APPLIED STAFF HOURS, WASHINGTON, D.C., VERSUS SEATTLE

Appendix D

BATTELLE EVALUATION:
COMPARISON OF APPLIED STAFF HOURS,
WASHINGTON, D.C., VERSUS SEATTLE

Period: June 23, 1980 - May 29, 1981
(11 Months)

	Washington, D.C.	Seattle	Total
Management	1,899.5	0	1,899.5
Research Scientists	6,266.0	613.0	6,879.0
Research Specialists	2,972.5	0	2,972.5
Research Assistants	360.0	14.0	374.0
Support Services	5,442.5	96.9	5,539.4
TOTAL	16,940.5	723.9	17,664.4

July 25, 1981

Appendix E

DETAILS OF BUDGET, BATTELLE EVALUATION

Appendix E

DETAILS OF BUDGET, BATTELLE EVALUATION

Category	AID-Approved Budget 6/23/80-6/23/83 (32 Months)	Expended and Encumbered 6/23/80-5/29/81 (11 Months)	Percent of Budget Spent (11 Months)	Balance Available 5/30/81-2/23/83 (21 Months)
Salaries	1,026,269	263,157	25.6	763,112
Overhead	241,759	64,659	26.7	177,100
Travel and Transportation	421,429	46,488	11.0	374,941
Materials and Supplies	11,253	0*	0	11,253
Subcontracts	750,000	22,800**	3.0	727,200
Consultants	24,100	544	2.3	23,556
Field Office Costs	341,740	67,141	19.6	274,599
Seattle Office Costs	0	1,135	0	(1,135)
Other Direct Costs	74,641	33,279	44.6	41,362
General and Administrative	789,266	159,971	20.3	629,295
Subtotal	3,680,457	659,174	17.9	3,021,283
Fixed Fee	276,034	48,178	17.5	227,856
GRAND TOTAL	3,956,491	707,352	17.9	3,249,139

* Reflected in costs in field and in Seattle office.

** Includes encumbrance of $16,800 unpaid on Subcontract No. H706-04 with AMIDEP in Peru. Elapsed Time = 34.8 Percent.

July 6, 1981

Appendix F

BUDGET FOR PDP II (P-14465)

Appendix F

BUDGET FOR PDP II (P-14465)

	Proposed Budget 6/23/80-2/23/83	Actual Booked 6/23/80-5/29/81	Percent Budget Spent
DIRECT STAFF LABOR	$1,026,269	$253,157	25.6
TRAVEL AND TRANSPORTATION	421,429	46,488	11.0
SUBCONTRACTS	750,000	6,000	Neg.
CONSULTANTS	24,100	544	Neg.
SEATTLE OFFICE			
Telephone	5,723	723	
Duplicating	4,919	106	
Word Processing	--	213	
Materials and Supplies, Miscellaneous	611	93	
	11,253	1,135	10.0
WASHINGTON, D.C., OFFICE			
Office Space and Equipment	207,058	50,538	
Word Processing	7,953	2,272	
Duplicating and Printing	44,281	3,118	
Telephone	43,947	6,542	
Telegram and Telex	7,561	723	
Postage	10,291	698	
Delivery Services	1,750	432	
Publications and Subscriptions	3,676	491	
Temporaries	--	748	
Materials and Supplies	14,058	773	
Miscellaneous	1,165	806	
	341,740	67,141	19.6
OTHER DIRECT COSTS			
Moving and Relocation	10,000	13,186	
PDP Fellows Program	44,547	6,006	
DBA Insurance	14,309	4,762	
PDP Brochure	--	4,822	
Meal Conferences	1,320	828	
Publications and Subscriptions	1,102	232	
Equipment	2,488	1,479	
Miscellaneous	875	1,964	
	74,641	33,279	44.6
Subtotal	$2,649,432	$417,744	
STAFF TIME OVERHEAD	241,759	64,659	26.7
GENERAL AND ADMINISTRATIVE COSTS	789,266	159,971	20.3
TOTAL COSTS	$3,680,457	$642,374	
FEE	276,034	48,178	17.5
TOTAL COSTS PLUS FEE	$3,956,491	$690,552	17.5

PDP II UNOBLIGATED BALANCE ON 5/29/81

Total Contract Amount	$3,956,491
Less Total Expenditures through May 29, 1981	(690,552)
Less Total Unpaid Obligations As of May 29, 1981	(16,800)**
UNOBLIGATED BALANCE, MAY 29, 1981	$3,249,139

* Percent of Time Spent Through May 29, 1981 = 34.8 Percent.

** Unpaid obligations of $16,800 are for Subcontract No. H706-04 with AMIDEP in Peru.

Appendix G

PROPOSED PROCESSING SYSTEM FOR BATTELLE PDP SUBCONTRACTS

Appendix G

PROPOSED PROCESSING SYSTEM FOR BATTELLE PDP SUBCONTRACTS

Project Development

A proposal usually is received after Battelle PDP professionals have made their initial contacts in the field. On a project development trip, Battelle's principal investigator (PI) carries (1) a copy of the proposal guidelines (outlining the information needed in the formal proposal), (2) a draft subcontract to leave with the requester for review, and (3) a transmittal information sheet (see Attachment A). This information sheet, which is prepared by the PI for the subcontract file, indicates the name and address of the subcontracting institution; key personnel; the subcontractor's preferred form of payment; banking information; USAID contacts; and notations about the most expeditious forms of transmittal to use in the country. By using the information sheet, delays in transmitting information and documents are minimized. Discussions are held with the requester about technical recommendations, and the proposal guidelines and the draft subcontract are reviewed. Potential problems with the formal language of the subcontract may be alleviated during these early discussions.

Before leaving the country, the Battelle PDP professional schedules a meeting with USAID to discuss the tentative proposal. He or she leaves a short paragraph that summarizes the discussions with the proposed subcontractor. Other discussions may need to take place--via phone, mail, or in person--before a formal firm proposal is submitted by the subcontractor. USAID and the AID/POP cognizant technical officer (CTO) are kept informed of all developments.

File Preparation

If a proposal has been hand-carried by the PI to the Battelle PDP office, his or her secretary prepares four (4) copies and distributes them to the PDP director, deputy director, PI, and backup PI.* If the proposal is received by mail, the secretary assigned to open the mail follows the same procedure. In either case, the original is given to the business clerk within two (2) working days of receipt.

Throughout this entire process, it is understood that, if the PI is traveling, or otherwise unavailable, the backup PI will take the necessary actions.

After assigning a proposal number, the business clerk prepares a subcontract file and a letter of acknowledgment for the PDP director's signature. The letter of acknowledgment is sent within four (4) working days of receipt of the proposal.

The business clerk also prepares for the subcontract file a Proposal Review Process Sheet (see Attachment B) onto which significant dates in the proposal process and brief notes from conversations are logged. This sheet provides easy access to current information about the status of the proposal. These same dates are incorporated into the monthly Management Information Report.

Technical Review

The top section of the Proposal Summary form is then completed by the business clerk, and the form is forwarded to the PI for completion. The PI prepares the Proposal Summary within five (5) working days of receipt of the proposal and includes a brief synopsis of the work statement, as proposed, an evaluation of the relevance of the work to the Battelle PDP program objectives and strategy papers for that country, a budget analysis, and recommendations for funding. Copies of the Proposal Summary are given to the PI, PDP director, and deputy director. The PI's secretary schedules a meeting with these individuals to review the proposal. A decision to approve or reject the proposal is made at this meeting.

If the final decision is to reject the proposal, the PI writes a letter to the requester explaining the reasons for rejection and the file is closed.

If the decision is to request proposal revisions from the requester, a letter is sent to the requester detailing the suggested changes. A trip may be scheduled to provide technical assistance to revise the proposal. After the revised proposal is received, a review by the PI is again initiated. This process can be repeated if necessary; however, experience dictates that the recommended changes are incorporated and the proposal is acceptable after the first revision.

Once a proposal has been accepted and the decision is made to request AID/POP approval for funding, a justification letter is written by the PI to the CTO for the PDP director's signature. This letter includes the relevance of the proposed work to Battelle PDP objectives and to the predetermined strategies for that particular country or region, the vital statistics from the proposal (time frame, dollar amount, key personnel), and a brief description of the proposed technical assistance and monitoring of the project. A line is typed at the bottom of this letter for the CTO's approval and the date of the approval. Copies of the letter are sent to: USAID, the HARC Contracts Office, and Battelle PDP's central file. A copy of the proposal accompanies the letter. Upon receipt, the

CTO reviews the proposal and obtains concurrence from the USAID mission, as well as the Office of Population's Policy Division. USAID cables approval to the CTO and, upon receipt, the CTO signs the justification letter and sends a copy of the letter and the cable to Battelle PDP for filing. AID/POP approval or USAID approval may contain qualifications. The recommendations must be incorporated before final processing.

Subcontract Preparation

While the proposal is in the AID approval phase, the preparation of the subcontract is initiated by the PI, who prepares a work statement and a list of expected deliverables and due dates. The information is forwarded to the business representative, who prepares a subcontract. Once the subcontract is prepared in final draft by the business representative, it is routed to the PI and PDP director for approval before being forwarded by the business representative to the Seattle Contracts Office for finalization. A copy of AID/POP written approval accompanies the subcontract to Seattle.

Types of Agreements

A basic ordering agreement is used if Battelle PDP expects that it will support more than one project at the subcontracting institution. The agreement includes all the basic clauses that must govern the subcontracts and the dates of the expected association between Battelle PDP and the subcontractor. Each individual task order under that agreement includes information specific to that particular task order.

If the association with the proposed subcontractor will be for one project only, the subcontract contains the clauses of the basic ordering agreement and the terms and conditions of the task order, which are incorporated into one document.

Unless specifically requested by the subcontractor, all subcontracts and task orders under basic ordering agreements are fixed-price.

Contracts Review

The agreement is reviewed by the HARC Contracts Office; the business representative is contacted for any additional clarification. If the subcontract satisfies the requirements of both the requester and Battelle, it is discussed with Battelle's legal counsel and concurrence is obtained.

Consummation of the Agreement

Upon receipt of all approvals, the subcontract is signed on Battelle's behalf by the contracting officer of the HARC and three (3) copies of the signed subcontract are sent, with a cover letter, to the subcontracting institution. A copy of the cover letter and the subcontract are sent to the Battelle PDP office for filing.

Upon receipt of the documents from Battelle, the proposed subcontracting institution signs two of the three copies and returns them to Battelle and HARC in Seattle. A copy of the fully executed document is sent to the CTO, AID's contracting officer (ACO), the PI, and the PDP director.

Disbursements

Disbursements to the subcontracting institution are made upon receipt of either a report or an invoice, as specified in the subcontract. If required by the subcontracting institution in order to proceed with the proposed work, an advance disbursement may be processed upon receipt of the signed subcontract by Battelle/Seattle. The reports required as deliverables under the subcontract are submitted by the subcontracting institution to the PI for approval. After review and approval, the PI prepares a memo to the HARC Contracts Office, via the PDP director, indicating approval and requesting that the appropriate disbursement be sent to the subcontractor. Upon approval by the PDP director, the memo should be given to the business clerk, who will telecopy the memo to the HARC Contracts Office to expedite disbursement. The original memo will be sent by mail.

Disbursements are prepared in the HARC Accounting Office and sent to the subcontractor. Various methods of disbursement are used, depending upon the situation specific to each subcontractor.

Attachment A

PDP SUBCONTRACT TRANSMITTAL INFORMATION

Proposal No._____ Country_____

Agreement No._____ Date Received_____

Project Title:_____

Institution_____ Project Director(s):

_____ _____

Address_____ _____

_____ Telephone Numbers:

_____ Institution:_____

_____ Project Director:_____

USAID Mission Contact(s): USAID Mission Address:

_____ _____

_____ _____

Telex No._____ _____

Telephone No._____ _____

Subcontract Institution Bank Information:

Bank_____ Telex No._____

Bank Address_____ Cable Address_____

Account No._____ _____

Additional Information (e.g., most expeditious means of sending documents and payments to subcontractor; means of transmittal to avoid; etc.):

_____

_____

_____

Attachment B

Proposal No._____

Institution_____

Battelle PI_____

Proposal Action	Comments	Date/ Initials
Received	_____	_____
Acknowledged	_____	_____
Proposal Summary	_____	_____
PI/PDP Director Review	_____	_____
Request for Revision	_____	S: _____
	_____	R: _____
Notice of Rejection	_____	_____
PDP Approval	_____	_____
Justification Letter to AID/POP	_____	_____
Information Copies to USAID	_____	_____
Information Copies to Richards	_____	_____
Approval from AID/POP	_____	_____
Draft Subcontract Approved	PI:_____	_____
	PDP Dir:_____	_____
Draft Subcontract to Richards	_____	_____
Signed Subcontract to SUB	_____	_____

Attachment C

KEY INDIVIDUALS IN THE SUBCONTRACTING PROCESS

PDP Director

Michael Micklin

PDP Deputy Director

Leonard Robinson

Principal Investigators and Backups

Leonard Robinson	Cynthia Gilley	Brazil
Anne Kubisch	Moses Ebot	Haiti
Harry Cross	Michael Micklin	Peru
Harry Cross	Michael Micklin	Honduras
Moses Ebot	Anne Kubisch	Cameroon
Moses Ebot	Rashid Ahmad	Nigeria
Leonard Robinson	Cynthia Gilley	To Be Determined
Susan Stout	Anne Kubisch	Sudan
Connie Carrino	Rashid Ahmad	Jordan
Harry Cross	Connie Carrino	Turkey
Leonard Robinson and Jatinder Cheema	Susan Stout	India
Susan Stout	Chris Cluett	Nepal
Rashid Ahmad and Leonard Robinson	Jatinder Cheema	Pakistan

Secretarial Staff

Sheila Donoghue
Claudia Barber
Debbie Achterhof
Donna Padgug
Irene Peralta
Danette Crawford

Business Clerk

James DeSautels

Business Representative

Dianne Arnold

Battelle Contracts Negotiator

James Richards

AID Cognizant Technical Officer

Sara Seims

AID Contracts Negotiator

James Cutrera

Per 2/9/81 LHR memo to staff.

Appendix H

SUMMARY OF REQUESTS FOR TRAVEL, BATTELLE EVALUATION

Appendix H

SUMMARY OF REQUESTS FOR TRAVEL,
BATTELLE EVALUATION

Country	Request to AID	Scheduled Departure Date	Days of Lead Time for AID
Sudan	9-05-80	9-27-80	22
Peru	9-09-80	9-24-80	15
Nepal	8-26-80	9-29-80	33
Jordan	9-05-80	10-10-80	35
Turkey	8-18-80	11-04-80	16
Haiti	10-24-80	11-10-80	16
Nigeria	8-18-80	12-04-80	106
Nigeria	1-13-81	1-19-81	6
Jordan	1-15-81	1-26-81	11
Brazil	12-02-80	2-09-81	67
Peru	12-16-80	1-11-81	25
Sudan	1-12-81	2-10-81	28
Nepal	1-29-81	2-27-81	28
Haiti	2-19-81	3-01-81	12
Pakistan	1-16-81	3-09-81	51
Turkey	2-23-81	3-01-81	6
Dominican Republic	2-26-81	3-12-81	14
Peru	2-18-81	4-19-81	61

Appendix I

SUMMARY OF SUBMISSIONS OF TRIP REPORTS, BATTELLE EVALUATION

Appendix I

SUMMARY OF SUBMISSIONS OF TRIP REPORTS, BATTELLE EVALUATION

Number of Trip Report	Country	Inclusive Travel Dates	Report Submitted to AID	Approximate Days Late
202	Sudan	9-21/10-08	11-25	32
203	Peru	9-23/10-04	11-14	25
204	Nepal	9-25/10-21	11-24	18
205	Jordan	10-27/11-11	o/a 12-05	10
206	PDP I			
207	PDP I			
208	Turkey	11-04/11-14	1-28	60
209	Haiti	11-10/11-21	1-23	47
210	Nigeria	12-06/12-21	5-21	135
211	Great Britain			
212	Jordan	1-26/2-12	3-13	14
213	Brazil	2-09/2-20	3-17	10
214	Peru	1-11/1-21	o/a 2-02	0
215	Sudan	2-11/2-26	6-02	79
216	Nepal	3-01/3-14	5-22 and 6-01	53
217	Haiti	3-11	6-11	75
218	Pakistan	3-05	5-13	53
219	Turkey	3-15/3-21	5-18	42
220	Dominican Republic	3-16/3-19	4-27	23
221	Nigeria	1-22/1-29	5-21	88
222	India	3-16/3-22	4-27	20
223	Peru	4-21/4-25	5-07	0
224	Brazil	5-11/5-18	5-28	0

Appendix J

COUNTRY STRATEGIES, BATTELLE EVALUATION

Appendix J

COUNTRY STRATEGIES, BATTELLE EVALUATION

Country	End of Initial Contact	Status of Documents: Under Preparation	In Draft	In Final Draft	Approved
Brazil	2-20-81		5-31-81		
Haiti	11-21-80			5-31-81	
Peru	10-04-80			5-31-81	
Nigeria	12-21-80		5-31-81		
Sudan	10-08-80		3-31-81	5-31-81	Draft Approved by AID/K
Jordan	11-11-80			5-31-81	
Turkey	11-14-80			5-31-81	
Nepal	10-21-80		3-31-81	5-31-81	
Senegal	5-11-81	5-31-81			
Togo	5-14-81	5-31-81			

Appendix K

TIME DISTRIBUTION RECORD, P-14465

Appendix K

TIME DISTRIBUTION RECORD, P-14465

Name									Week Ending	
Staff Position			RSCI ☐		RSPEC ☐			CONS ☐		SECS ☐
	Tasks	Sat	Sun	Mon	Tue	Wed	Thu	Fri	Total	Country
1.	Country Selection Criteria									
2.	Selection of Countries									
3A.	Country Visits and Strategies: New									
3B.	Country Strategies: Old									
3C.	Briefing Books									
4A.	Implementation: New Countries									
4B.	Implementation: Old Countries									
5A.	Monitoring and Follow-Up									
5B.	Policy Briefs									
5C.	Advance Country Reports									
5D.	Six Country Workshops									
5E.	Final Country Reports									
6A.	Fellows Program									
6B.	Regional Seminars									
6C.	Regulatory Approaches Policy Issues									
6D.	Comparative Analysis									
6E.	Comprehensive Final Report									
Program Management, Administrative and Secretarial										
TOTAL										