

XD-ABA-925-A

**MANAGEMENT EVALUATION**

**International Life Sciences Institute  
Nutrition Foundation, Inc.**

**Secretariat for  
International Vitamin A Consultative Group  
International Nutritional Anemia Consultative Group  
Project SUSTAIN**

**(Cooperative Agreement No. DAN-5115-A-00-7114-00)**

**May, 1989**

**Report prepared for the Office of Nutrition,  
Bureau of Science and Technology,  
Agency for International Development**

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## I. Executive Summary

On September 29, 1987 a Cooperative Agreement was signed by the Agency for International Development (A.I.D.) and the International Life Sciences Institute - The Nutrition Foundation, Inc. (ILSI-NF). The purpose of the Cooperative Agreement is for ILSI-NF to provide support for a program of secretariat and management services for the International Vitamin A Consultative Group (IVACG), International Nutritional Anemia Consultative Group (INACG), and Project SUSTAIN. A.I.D. committed \$2,998,693 of the program total of \$4,679,138 for the five year, 9/30/87 to 9/30/92, life of the agreement.

The Cooperative Agreement provided for an evaluation during the first quarter of FY 1988. However, the evaluation was delayed due to the illness and death of the former Director of the A.I.D. Office of Nutrition and the ensuing transition period.

This evaluation discloses that much of the management reporting and enhanced leadership role for the secretariat as expressed in the Agreement, as well as oversight of this management aspect by A.I.D., did not occur. Rather operations seem to have continued to function substantially as before under the three separate organizations mentioned above.

It is now incumbent upon A.I.D., as provided in Attachment 1. F.4, to express to ILSI-NF that they must adhere to specific clauses in the Cooperative Agreement, or as amended.

The status of compliance with the objectives in the Cooperative Agreement is summarized as follows:

- o ILSI-NF has leased adequate and economical office space for the operations.
- o ILSI-NF maintains accounts and records meeting acceptable accounting standards, subject to independent audit. There are some questioned costs that should be disposed of by the Agreements Officer. Please see Recommendation 5 in Section VII, page 37.

- o IVACG and SUSTAIN have arranged several conferences, workshops and other meetings. INACG activity in this regard was substantially delayed until FY 1989. (Please refer to pages 12 and 13.)
- o SUSTAIN published and distributed five issues of their newsletter since 10/1/87. IVACG and INACG have issued four and two publications respectively.
- o IVACG and SUSTAIN have arranged appropriate consultative services. INACG has seldom used consultative services during this period.
- o The Secretariat, as such, does not maintain a correspondence system. IVACG and INACG correspondence files reflect primarily requests for publications; apparently, much of the liaison is handled by informal communications. SUSTAIN has maintained correspondence and liaison with various international organizations and A.I.D. Missions abroad.
- o IVACG, and INACG to a much lesser extent, in implementing the referral service role, has used the University of North Carolina's Medline service as a research service to the state-of-the-art repositories. SUSTAIN has not been included in this effort, but they do conduct information searches through their consultants.
- o A secretariat leadership role has not been developed in support of policy development, planning, promotion, advisory functions and communications. However, work plans and policy development continue to be done by the three separate organizations.
- o With respect to accomplishments in the area of A.I.D. Mission programming and institutional development, SUSTAIN has held 11 workshops/seminars, fully coordinated with and reported to A.I.D. Missions. IVACG and INACG do not provide training nor liaison with A.I.D. missions.

- o Quarterly program performance reports have not been prepared or sent to A.I.D. from the Secretariat or the three organizations.
- o Annual report content and timeliness need to be improved and consolidated by the Secretariat.
- o Trip reports are submitted by SUSTAIN to A.I.D., but not by IVACG and INACG, except orally.
- o IVACG and INACG need to improve their project filing systems.

There are 23 recommendations contained in Section VII addressing the deficiencies noted in this evaluation.

## II. Background

### A. Introduction

The Agency for International Development (A.I.D.) for many years has been actively involved worldwide in combating Vitamin A deficiency and nutritional anemia. A.I.D. also has promoted the upgrading of food processing in developing countries. To coordinate its efforts with those of other donors, industry, and Third World Countries, A.I.D. organized secretariats for two groups: the International Vitamin A Consultancy Group (hereafter referred to as IVACG) and the International Nutritional Anemia Consultative Group (hereafter referred to as INACG). A third group, SUSTAIN, was funded as a component of an existing ongoing project. Each group coordinates A.I.D.'s interests in a specific area with those of other donors, industry, and Less Developed Countries (LDCs). In 1987 these three activities were combined into a single Cooperative Agreement, under which the Recipient\* is to provide secretariat, administrative, and managerial services to the three aforementioned groups and perhaps one or two future consultative groups that may be organized by A.I.D.

### B. Three Organizations

#### 1. International Vitamin A Consultative Groups (IVACG)

The 12 year old IVACG guides international Vitamin A activities aimed at reducing Vitamin A deficiency worldwide. IVACG sponsors scientific conferences and workshops and convenes task force groups to review and analyze services related to Vitamin A deficiency. IVACG has prepared guidelines to assess prevalence, to develop intervention strategies and to evaluate effectiveness of Vitamin A programs. In addition, the IVACG has published a series of state-of-the-art monographs on appropriate technical Vitamin A subjects.

\*Recipient = International Life Sciences Institute/Nutrition Foundation (ILSI-NF).

## 2. International Nutritional Anemia Consultative Group (INACG)

INACG guides international activities aimed at reducing nutritional anemia in the world. It has been active for ten years. The group offers consultation and guidance to various operating and donor agencies which are seeking to reduce iron deficiency and other nutritionally preventable anemia. INACG has prepared guidelines and recommendations for: (a) assessing the regional distribution and magnitude of nutritional anemia; (b) developing intervention strategies and methodologies to combat iron deficiency anemia; (c) evaluating the effectiveness of implemented programs; and (d) providing research needed to support the assessment, intervention and evaluation of programs. INACG sponsors scientific and technical workshops and conferences and convenes task force groups to review and analyze services related to nutritional anemia, in particular iron deficiency anemia. In addition, INACG has published a series of state-of-the-art monographs and papers on appropriate technical iron deficiency anemia subjects.

## 3. Project SUSTAIN

Project SUSTAIN is three years old. It is fundamentally a U.S. Food Industry program. The purpose is to use the technical know-how and expertise of U.S. food companies to help upgrade food processing in developing countries. Operationally, requests for technical assistance are generally routed through A.I.D. missions. The "Third World" company or organization seeking help submits its program to the Mission, which transmits the request to SUSTAIN. SUSTAIN (a) provides technical information; (b) sends short-term consultants overseas; (c) organizes and presents seminars/workshops; (d) brings technical staff to the U.S. to visit U.S. food manufacturing plants; (e) conducts training at U.S. universities and private food plants; and (f) issues a quarterly newsletter.

### C. Description of the Current Operation

The three organizations are currently receiving A.I.D. funding under a Cooperative Agreement arrangement (DAN 5115-A-00-7114-00,

dated 9/29/87). ILSI-NF is responsible for the management and administrative operations of the three organizations. However, each of the three organizations functions, generally, as separate entities only sharing space and fiscal support. IVACG and INACG also share administrative support (See Appendix F, which describes the individual secretariat functions for each organization as presented in the Cooperative Agreement).

The Cooperative Agreement has as its objective that ILSI-NF should be providing secretariat, managerial and administrative services to IVACG, INACG and SUSTAIN. The required financial documents are presented in a combined form, and as requested by A.I.D., accounting for funding and disbursements separately by the three organizations. Otherwise, other management and administrative functions are not merged into a "secretariat", or a consolidated format.

### III. Environmental Context

The historical, social, economic, and institutional issues relevant to these programs are discussed below.

#### Historical

Historically, the three organizations, IVACG, INACG, and SUSTAIN operated as separate activities. IVACG and INACG, being the older two organizations, functioned through two separate A.I.D. projects, the Vitamin A Deficiency Project 931-0045, and the Combatting Iron Deficiency Project 931-0227. The two projects were joined and operated through an umbrella organization, the Nutrition Foundation, a 50 year old organization with contacts and experience in the worldwide nutrition community. These projects were operated separately through grant funds provided by A.I.D.

The Director of S&T/Nutrition decided upon using a cooperative agreement for these projects when they and others in the nutrition community felt a need to improve management of the two organizations as well as a need to bring their work together. Examples of problems cited were: poor distribution of information; poor management of international meetings/conferences; and activities not well-focused. It was with this view that a concept was developed to have a cooperative agreement which would better manage and ensure accountability for the administration and management of the organizations.

Project SUSTAIN originally operated through another nutrition organization, League for International Food Education (L.I.F.E.), which eventually went out of business. The Director of AID/S&T/Nutrition believed it would be a viable approach to include SUSTAIN under the cooperative agreement.

The Nutrition Foundation was housing the operations of IVACG and INACG for several years when it began to run into financial trouble. The organization was losing funding and was merged with the International Life Sciences Institute (ILSI). When it merged the Nutrition Foundation under its auspices, ILSI gained status and credibility in the nutrition community. The new organization, ILSI-NF, assumed the responsibility for the operations of the two organizations, IVACG and INACG.

The AID/S&T/Nutrition Director, facing budgetary constraints, decided to combine the overall management and administrative responsibilities of the three organizations as a way to ensure that the three projects would continue to function. The development of a cooperative agreement was essentially a joint concept of the former Nutrition Foundation leaders and the Director of AID/S&T/Nutrition. It was stated that the Director's vision was threefold:

1. To improve the management of all three organizations
2. To improve communications between the three organizations, and between the organizations and A.I.D.
3. To provide leadership in these specialty areas of nutrition.

However, the S&T/N Director was concerned that the "recipient" might experience difficulty in its management role as expressed in the Cooperative Agreement and therefore requested the stipulation that an evaluation be initiated in the first quarter of the agreement. Due to the Director's illness and death in October, 1987, and delay in his replacement the evaluation was postponed until May, 1989.

#### Economic

The Cooperative Agreement was developed under the premise that it would reduce the overall costs of operating the three organizations. The financial mandate within A.I.D. to do more with less, and the call for reduction in budgets sparked the interest to move toward the existing Cooperative Agreement. The

agreement was seen as having the long term benefits to A.I.D. of making the projects easier to monitor, allowing work to continue with reduced costs, and allowing for more interaction and accountability from the recipient. The idea was to move away from the previous grant arrangements which were simply a means of distributing funds without any real accountability and control by A.I.D.

Operating from a reduced financial position, A.I.D. viewed the introduction of a Cooperative Agreement as attractive because it gave leadership the latitude to pursue its program initiatives within existing fiscal constraints.

### Social

A prolonged transition period occurred in the Office of Nutrition following the death of the Director in October, 1987, beginning within a month of the Cooperative Agreement signing. The transition period (September 1987 to July 1988) resulted in some confusion within S&T/Nutrition. Supervisory authority for the new entity, the secretariat, was reluctantly assumed, so the three projects continued to function basically as three separate organizations under three A.I.D. project officers. This approach to project management, developed during the last months of the former Director, continued until the assignment of a new Director in July, 1988. This situation may have contributed to ILSI-NF's continuing to operate as three separate entities, despite the mandate in the Cooperative Agreement.

### Institutional

A.I.D. was embarking on a new endeavor with a Cooperative Agreement. The AID/S&T/Nutrition Director wanted to distinguish between a grant, contract and a cooperative agreement. It was believed that he did not want to perpetuate a system of grants which would disperse money with limited controls; nor did he want a contract which would open the services up for bidding to firms outside of the nutrition community. Therefore, he opted for a cooperative agreement which he believed would provide leadership and advisory functions as well as management activities.

The policy issue for A.I.D. at the time of embarking on a new arrangement for the three activities was whether the agreement should be a leadership role (limiting it to the nutrition community) or a support role (open to consultant groups outside of the nutrition community), or both. Once A.I.D. determined that the agreement role should be to provide both leadership and support functions, the agreement was awarded to the organization with extensive experience in the nutrition field. S&T/Nutrition would then monitor and manage the project as any other project.

The Cooperative Agreement contained little guidance on how it should be monitored. There were few if any precedents in S&T/Nutrition on which to base such guidelines. During the transition period, without continuity in S&T/N leadership, there was a lack of direction given to the "recipient" for the implementation of the agreement. And ILSI-NF did not assume the responsibility to carry out the requirements of the Cooperative Agreement.

## IV. Methodology

The methodology used in this evaluation consisted of a qualitative and minimal quantitative analyses from a management perspective. The data collection process was executed over a two week period. Documents were reviewed and questionnaires were distributed to relevant project personnel at ILSI-NF, AID/S&T/Nutrition, other A.I.D. officers, and other members of the Nutrition Community (See Appendix A).

The data were collected from interviews, assessment of responses to questionnaires, documentation analysis, and financial management analysis (See Appendix D, G, H and I.)

## V. Analysis

This analysis addresses both requirements of the Cooperative Agreement and the detailed Scope of Work for this evaluation.

### A. Compliance with objectives and requirements of the Cooperative Agreement DAN-5115-A-00-7114-00.

The managerial effectiveness of ILSI-NF in service delivery is summarized in Table 1 at the end of this section. The following sections are in the same order as the "Objectives" set forth in the Cooperative Agreement, Attachment 2, Section D1 and 2; except for 2.a and 2.b which are presented below in Section E. Financial.

1.a Acquiring Space in D.C. Area - ILSI-NF has complied with the Cooperative Agreement and provided suitable and economic office space at 1126 16th Street N.W., Washington, D.C., Suite 111. This location is within 45 minutes from AID/S&T/Nutrition. There are three offices and an open reception area from which the three organizations operate. Office assignments include L. Lindsey, C.O. Chichester, and I. Hornstein. L. Lindsey is responsible for two projects, IVACG and INACG, using one office. C.O. Chichester, responsible for the secretariat, has one office, and I. Hornstein, responsible for Project SUSTAIN, has one office. Administrative assistants share the common reception area. Appendix C presents the organizational charts for ILSI-NF, Secretariat, and S&T/Nutrition. Other staff of ILSI-NF provide oversight and administrative, fiscal, and accounting support.

2.c Organize and arrange conferences, workshops, and other meetings - ILSI-NF secretariat does not function in the sense of a single secretariat with regard to this objective. The services are conducted through each of the projects. IVACG, during the period of the Cooperative Agreement, has had numerous conferences

and workshops (eight task forces, one conference, and two steering committee meetings) at a cost of \$142,269 in A.I.D. funding. With this level of activity, IVACG relies heavily on host country organizations for logistical and managerial support during the meetings. INACG has arranged for two task force meetings and one workshop and one executive committee meeting at a cost of \$43,082 in A.I.D. funding. SUSTAIN has arranged four board of directors meetings, eleven workshops/seminars, and four reconnaissance visits at a cost of \$45,098 in A.I.D. funding.

In commenting on the number of meetings, ILSI-NF remarked that frequently meetings must be rescheduled to accommodate A.I.D. project officers. However, A.I.D. project officers frequently cannot attend Steering Group/Executive Board meetings due to the lack of travel funds, although they are members of these governing groups.

2.d Manage the publication of scientific and technical monographs, papers, reports, and produce a SUSTAIN newsletter and other documents - It was noted that Project SUSTAIN does not publish scientific and technical monographs, papers or reports. It does publish a newsletter, SUSTAIN Notes, which is issued four times a year. It has been published five times during the period of the Cooperative Agreement and distributed to 1,500 organizations. The newsletter material is planned, developed and written by SUSTAIN personnel and food industry contributors and then published by ILSI-NF.

IVACG and INACG publications are done less frequently. These organizations rely heavily on the inclusion of information on their respective activities in the newsletters of other related organizations. Examples of these newsletters are: ILSI Newsletter, Xerophthalmia Bulletin, Helen Keller International Bulletin, and Dialogue on Diarrhea.

All of the other publications of IVACG and INACG are planned, developed, written, and edited by members of the consultative groups, then are published by ILSI-NF. (It was stated that the

latter effort requires only 5% of an ILSI-NF staff person's time.) During the period of the Cooperative Agreement, there have actually been only four publications for IVACG emanating from eight task force meetings. ILSI-NF stated that the Task Force meetings are held solely for the purpose of producing a publication. For INACG, there have been only two publications during the Cooperative Agreement.

2.e Arrange appropriate consultative services - The responsibility for the arrangement of consultative services has remained with the individual IVACG and SUSTAIN program managers as opposed to a joint secretariat operation. INACG seldom has used consultants during the period of the Cooperative Agreement.

2.f Maintain correspondence and liaison with various international organizations - There is no correspondence on a regular basis from the ILSI-NF secretariat. This objective is primarily executed by the individual organizations rather than under the secretariat as indicated in the Cooperative Agreement.

The limited documentation in the files indicates a lack of effective communication between the recipient of the Cooperative Agreement and S&T/Nutrition. Communications between the project officers in A.I.D. and the three entities have continued as they did before the Cooperative Agreement and are mostly informal.

IVACG and INACG need an improved correspondence system. Even though they have the responsibility to maintain their own correspondence and liaison with various international organizations, correspondence and liaison appear to be limited to requests for IVACG and INACG publications and other information. Files for individual organizations do exist, but do not show correspondence on substantive issues. Similarly, there is a lack of supporting documentation of informal contacts which are maintained.

Correspondence and liaison efforts appear to be limited to specific organizations as well as done on an informal basis.

During this evaluation contact was made with seven individuals, representing nutrition personnel in A.I.D. regional bureaus, other U.S. government agencies, and private organizations who are involved with Vitamin A and Anemia activities. (One person was not helpful and did not want to respond.) The results showed that three of the contacts were "familiar" with all three entities, one was "aware of" the three; while two were only "familiar" with one organization. Their general comments indicated that:

1. Publications of 4-5 years ago continue to be the major publications which are well known;
2. IVACG is not taking initiative in communicating with those in the development agencies; and
3. S&T/Nutrition should assure awareness of the overall secretariat in the development community.

Files tend to be not well-defined for IVACG and INACG. Reorganization of the current file system was due to take place 5/8/-5/12/89. It was stated that the reorganization was delayed due to the evaluation team's visit. Mailing lists are similar for both IVACG and INACG and were being updated during this evaluation. Lists vary based on the nature of the material to be distributed (438 for INACG, 1,200 for newsletter, and a ten page list for IVACG and INACG). IVACG and INACG maintain information on their activities in several newsletters circulated within the nutrition industry. Therefore, it appears that IVACG and INACG are dependent on other organizations to communicate with other international organizations. There is considerable emphasis placed on the contact and positive relations between IVACG and INACG and WHO/PAHO/FAO and other UN agencies.

Project SUSTAIN has a good communications system. There is clear evidence that they have fulfilled this objective. They have initiated, established and maintained correspondence and liaison with various international organizations and A.I.D. missions. Examples of correspondence and liaison are reflected by these types of letters : (1) requests for reconnaissance

visits in Africa; (2) follow-up to A.I.D. missions who previously used SUSTAIN, but have not recently; and (3) letters to A.I.D. missions which were informational. SUSTAIN's mailing list consists of 1,500 companies in 60 countries. The Secretariat has not acted to have SUSTAIN information included in other organizations' newsletters as is the case with IVACG and INACG.

2.g Function as a referral service to state-of-the-art repositories of subject information - IVACG has implemented this function by using the University of North Carolina's Medline service. IVACG has primarily utilized the service for the compilation of abstracts on Vitamin A every three months. The service is developed, maintained, and updated by the University of North Carolina. Periodically, IVACG staff review the key search words used in the system and request that they be changed. The cost of this service to IVACG is \$300 per quarter and they have spent \$900 to date. IVACG serves as a distribution network for the abstracts. After IVACG reviews the abstracts, they distribute approximately 40 to 100 copies. There was one attempt to use the service with INACG, but it has not continued because of funding constraints.

INACG, while participating in the service at a minimal level, has received one set of abstracts (5,000 pages), but the abstracts have not been reviewed or distributed.

This referral service, while having potential, has not been requested for SUSTAIN.

2.h Encourage and promote policies, planning, research and operations needed to move IVACG, INACG, and SUSTAIN toward obtaining their objectives.

2.i Organize and facilitate the advisory functions of IVACG, INACG, and SUSTAIN.

2.j Expand and promote communications between the various organizations engaged in programs to: (a) prevent vitamin A deficiency and xerophthalmia; (b) combat iron deficiency anemia;

and (c) enhance the knowledge and technology in food processing in LDCs

The three objectives, h,i, and j, in the Cooperative Agreement, are perceived as leadership activities, and to be completed by the secretariat. Only limited evidence was found to indicate achievement of these objectives.

ILSI-NF indicated that it does organize and facilitate the advisory functions of the three organizations by assisting in planning, workplans, fiscal control, and encouraging development. Long range planning has not been demonstrated by the secretariat; however, some planning does exist within each entity. Workplans have been submitted by IVACG, INACG and SUSTAIN although they are not required by the Cooperative Agreement. No workplan or planning function exists for the secretariat. Fiscal control has been separately maintained for each entity. The fiscal information has been prepared uniformly in presenting Standard Form 269 and 272 for accountability of the letters of credit issued under the Cooperative Agreement.

In December, 1988, after an inquiry by S&T/Nutrition, ILSI-NF initiated internal staff meetings which included all three organizations. Meetings were only held in December, 1988, and January, 1989. It was stated that they were discontinued due to lack of relevant information for discussion pertinent to all three entities.

Policy development and implementation continued to be done within the three organizations. The Steering Committee (IVACG), Executive Committee (INACG), and Board of Directors (SUSTAIN) continue to determine policies, although the Cooperative Agreement calls for a policy function to be done by the Secretariat (See Appendix F). The secretariat has no policy and planning efforts of its own, thus it is not assuming the leadership role specified in the Cooperative Agreement.

Research capabilities do not exist in either the secretariat, IVACG, or SUSTAIN. INACG is the only entity which has an on-going research activity in operation and this is now on hold.

The results of the INACG research endeavor will be presented to A.I.D. and the scientific community simultaneously.

The representative of the ILSI-NF secretariat states that the secretariat provides planning, and fiscal control, leadership and advisory resources. This was demonstrated with respect to securing and use of office space, fiscal support and certain administrative activities. However, there was a lack of convincing evidence of significant change from previous agreements to establish overall management/leadership as a single secretariat as opposed to three separate entities.

The current Project Manager, Dr. C.O. Chichester, believes that the ILSI-NF secretariat has helped to maintain a high visibility in the international nutritional community, and specifically for the A.I.D.-funded projects in LDCs. The secretariat is perceived to offer an important set of resources in the three organizations. INACG and IVACG are technical advisors to WHO and other UN agencies. The UN agencies believe that these two organizations are the best in the field. Therefore, the UN agencies rely heavily on their expertise. SUSTAIN, on the other hand, is the only organization of its kind with direct involvement in the industrial food sector and relations with A.I.D.

TABLE 1. Summary of ILSI-NF Compliance with Objectives and Requirements

(Cooperative Agreement DAN 5115-A-00-7114 -00  
9/30/87 - 4/30/89, Attachment 2, Section D1-2)

<u>OBJECTIVES</u>	<u>ILSI-NF</u>	<u>IVACG</u>	<u>INACG</u>	<u>SUSTAIN</u>
1. Office Space	YES	N/A	N/A	N/A
2a. Fiscal	YES <sub>1</sub>			
b. Fiscal	YES <sub>1</sub>			
c. Workshops etc.,	NO	YES	YES	YES
d. Publications	NO	YES	YES	YES
e. Consult. Ser.	NO	YES	YES	YES
f. Correspondence	NO	YES	NO	YES
g. Referral Services	NO	YES <sub>2</sub>	NO <sub>3</sub>	NO
h. Policies, Plng	NO	YES	YES	YES
i. Advisory Role	NO	YES <sub>4</sub>	YES <sub>4</sub>	YES
j. Communications Expansions	NO	NO	NO	YES

1. ILSI-NF submitted SF-269 and SF-272 reporting on A.I.D. funds received and expended as well as accounting for in-kind contributions for the three organizations.
2. Documents exist, but referral only verbally attested to.
3. Documents exist, but no review or distribution done.
4. Verbally stated it has been done.

**B. Outputs/Accomplishments (A.I.D. Mission Programming, and Local Government Institutional Programming). (Scope of Work). Information also requested in the Cooperative Agreement, Attachment 1 Section E.2.**

There were no outputs or accomplishments for the secretariat or IVACG and INACG relating to A.I.D. Mission programming and local government institutional programming. The outputs for these two organizations are in the form of publications (See information provided in the following section).

On the other hand, SUSTAIN has had eleven workshop/seminars during the period of the Cooperative Agreement. There is an evaluation document in the files for each of the workshops conducted. This activity is a demonstration at the individual organizational level of output in the area of training and institution building. It was fully coordinated with the A.I.D. Missions, and reports were distributed to them and to the respective local organizations involved.

**C. Publications and Reports - Cooperative Agreement, Attachment 1, Section E.2 a-c, and Attachment 2, D.3.**

There are several sets of documents in addition to fiscal reports required under the Cooperative Agreement. These reporting requirements are for quarterly performance reports, annual reports, and trip reports which should be submitted to S&T/N on a set schedule. Other documents, listed below as Miscellaneous Documents, had no fixed requirements or submission deadlines.

**Quarterly Reports**

Quarterly program performance reports do not exist for any of the three organizations, or for the Secretariat. Only quarterly financial reports were submitted in conjunction with the required financial reporting. The Secretariat did not comply with the Cooperative Agreement, Attachment 1. E.2(a) 1-2, concerning performance reports. However, there have been ILSI-NF

internally-generated monthly performance reports. Review of these reports indicates that to a limited degree they meet the elements identified for quarterly program performance reporting stated in the Cooperative Agreement. This indicates that ILSI-NF has the capability of complying with this aspect of the Cooperative Agreement.

### Annual Reports

Annual reports observed both at ILSI-NF and at AID/S&T/N were the same. The submission of the INACG Annual Report was not timely. It was received at the S&T/N office on 5/9/89. Other Annual Reports were on file, but lacked some elements specified in the Cooperative Agreement. Workplans were submitted, although, they were not required by the Cooperative Agreement. A workplan was included in the IVACG Annual Report but not included in the annual reports for INACG and SUSTAIN (See Table 2).

All three reports need additional work to bring them up to the standards prescribed in the Cooperative Agreement. There is no single annual report document for the Secretariat as required in the Cooperative Agreement.

### Trip Reports

These reports are only available for Project SUSTAIN. INACG and IVACG have not submitted trip reports. Both entities are aware of the reporting requirement in the Cooperative Agreement, but have not completed reports. INACG explains that they have never been requested by the A.I.D. project officer. IVACG explains that trips are reported informally to the project officer at A.I.D.

Trip reports from SUSTAIN are submitted to A.I.D. within a three week period. The 20 day period for submission of a report to A.I.D. is adhered to as closely as possible considering that major corporate leaders perform these consultancy trips gratis. In the Project SUSTAIN files, proof exists that trip reports have been submitted to A.I.D., however, a check of the S&T/Nutrition

files disclosed only one trip report.

### Miscellaneous Documents (See Table 3)

#### IVACG

The documentation and filing system was found to be lacking in organization. This made it hard to verify the existence of documents required by the Cooperative Agreement. The leadership of IVACG considers papers to include minutes; monographs and reports to be photocopied documents; and that task forces produce only publications. Minutes for IVACG meetings are on file at IVACG, however, they have not been sent to A.I.D. Informal criteria for publications were established within the nutrition community, but are not written and available for review. There appear to be several different mailing lists. The mailing list seen by the evaluation team listed 264 organizations and individuals interested in Vitamin A and Anemia. This was stated to be a partial list and appeared to be a sub-list of an ILSI-NF list.

The IVACG Steering Committee was reported to have met three times since the beginning of the agreement. (12/87, 5/88, 10/88.) Only two reports are in the files, therefore one of these reports was not prepared or it is missing. There have been eight task forces conducted, with six reports (minutes) in the files. Of the six reports, only one was submitted within the 30 day period. The other reports were submitted 2-4 months after the meeting. Only two reports appear to have been sent to A.I.D.

#### INACG

A minimum of trips and meetings occurred through INACG and there are no trip reports on file. Project Officers at A.I.D. did not request trip reports. Like IVACG, the criteria for INACG publications remain within the scientific community. There did not seem to be any criteria in the files. The A.I.D. project working files were not complete. The A.I.D. Project Officer indicated that either the S&T Program Office or INACG, at ILSI-NF, were the locations for the project files and documents.

INACG has not held Executive Committee meetings during the period of the Cooperative Agreement which was attributed to the death of Chairman DeMaeyer. Task forces have only met twice under this agreement. The mailing list appears to be a sub-list of ILSI-NF's mailing list.

SUSTAIN

The Board of Directors for SUSTAIN is scheduled to meet two times per year. It has met five times during the Cooperative Agreement. Minutes have been produced and sent to A.I.D.

Project SUSTAIN activities do not require Task Force reports, monographs, and papers. SUSTAIN keeps an accurate control of reports on workshops and seminars as required in the Cooperative Agreement.

TABLE 2. WORKPLANS ANALYSIS  
CORRESPONDENCE DATED APRIL 10, 1989\*  
DATED: 10/1/88 - 9/30/89

<u>GUIDELINES</u>	<u>IVACG</u>	<u>INACG</u>	<u>SUSTAIN</u>
1. Describe planned activities for the forthcoming year.	1	2	1
2. Delineate by quarter	0	0	0
3. Activities linked to project goals and objectives.	2	3	2
4. Group planned activities by subject.	2	2	1
5. Projected budget for each quarter.	3	3	3
6. Individual involvement	3	3	1
7. Publications - Reports, workshops/seminars and information dissemination by quarter.	2	2	1
	—	—	—
TOTALS	13 (a)	15 (a)	9 (a)

LEGEND

Rating:

1 = Totally adequate

2 = Adequate

3 = Inadequate

4 = Totally inadequate

0 = not applicable (not required when the request for workplans were made.)

(a) 7 = Totally adequate

(a) 28 = Totally inadequate

\* Guidelines for assessment were taken from Bergman/Morck letter dated April 10, 1989. These guidelines will be added to the Cooperative Agreement when it is amended later in this Year.

TABLE 3. SUMMARY OF ILSI-NF COMPLIANCE WITH PUBLICATIONS  
 COOPERATIVE AGREEMENT DAN 5115-A-00-7114-00  
 ATTACHMENT 2, SECTION D.3

<u>PUBLICATIONS</u>	<u>ILSI-NF</u>	<u>IVACG</u>	<u>INACG</u>	<u>SUSTAIN</u>
MONOGRAPHS	NO	YES	YES	(4)
NEWSLETTER (1)	-	-	-	YES
PAPERS AND REPORTS	NO	NO (2)	NO (2)	(4)
TASK FORCE REPORTS	NO	YES	YES	(4)
CONFERENCE AND WORKSHOPS	NO	NO	NO	YES
STEERING/EXECUTIVE BOARD MEETINGS	NO	YES	NO (3)	YES

(1) Only SUSTAIN has a newsletter.

(2) IVACG and INACG consider minutes as compliance with papers and reports.

(3) INACG has had only one executive meeting.

(4) SUSTAIN is not required to produce monographs, papers, or task force reports.

#### D. Personnel

Key personnel for this project have remained the same as stated in ILSI-NF's Technical Proposal. Only personnel assigned to key positions require the approval of S&T/Nutrition. ILSI-NF has not formally requested S&T/Nutrition's approval.

There is an ILSI-NF Project Manager for the Cooperative Agreement. This manager, along with the program manager for Project SUSTAIN, was named in the Technical Proposal. Confusion seems to exist in that the Project Manager for the Cooperative Agreement is also the program manager for IVACG and INACG. However, in the organizational chart (See Appendix C), there is another individual who functions as the program manager for the two projects under the direct guidance of the Project Manager.

TABLE 4. ILSI-NF COMPLIANCE WITH PERSONNEL  
 COOPERATIVE AGREEMENT DAN 5115 - A - 00- 7114-00  
 9/30/87 - 4/30/89  
 ATTACHMENT 2, SECTION D.4

	<u>ILSI-NF</u>	<u>IVACG</u>	<u>INACG</u>	<u>SUSTAIN</u>
1. Official notification to A.I.D.	NO	NO	NO	NO
2. Key personnel have experience in technical and scientific areas (Vitamin A, anemia, Food technology.)	YES	YES	YES	YES
3. Project manager qualified in professional managerial and fiscal matters	YES	YES	YES	YES
4. Project manager has adequate administrative support from full and part time personnel as required.	*	YES	YES	YES

\* Staff works on activities of three entities.

E. Financial (refers to 2.a and 2.b in attachment 2. Section D.2. of Cooperative Agreement)

2.a. Maintain appropriate and acceptable fiscal records and accounts.

2.b. Disburses cooperative agreement funds

The Cooperative Agreement between A.I.D. and ILSI-NF provides for a budget of \$4,679,138 over a five year period, 9/30/87 to 9/30/92. A.I.D. funding is to be \$2,998,693 and non-federal funding (cost sharing) is planned for \$1,680,445. As of 3/31/89, the status of the financial activity is summarized as follows:

<u>Source of Funds</u>		<u>Obligations</u>	<u>Expenditures</u>	<u>Balance</u>
<u>AID Projects</u>			(*)	
Vitamin A	931-5117	\$ 772,991	\$ 436,676	\$ 336,315
Anemia	936-5115	279,000	128,824	150,176
SUSTAIN	936-0262	358,947	318,432	40,515
Totals		<u>\$1,410,938</u>	<u>\$ 883,932</u>	<u>\$ 527,006</u>

<u>Non-Federal Funds</u>	<u>In-Kind</u>	<u>Cash</u>
	<u>Contribution</u>	
	(**)	
Vitamin A	\$ 241,533	\$ 18,881
Anemia	32,125	104,011
SUSTAIN	251,500	213
Totals	<u>\$ 525,158</u>	<u>\$ 123,105</u>

(\*) See Appendix G for details.

(\*\*) See Appendix H for details.

Appendix G sets forth the expenditures for the first 18 months of operations, 9/30/87 to 3/31/89, in comparison with a straight-line proration of the Cooperative Agreement's budget by line item. The actual expenditures totalled \$883,932 compared to the pro-rata budget of \$899,608, or \$15,676 under budget. However, there were significant under/over variances. Direct salaries, fringe benefits, and supervisory fee were \$28,700

under budget. Other line items under budget were publications - \$36,119; training - \$16,417; expendable supplies - \$16,459; office rent - \$5,476; and meeting room rentals - \$2,127. Expenses over budget were travel, and per diem - \$60,840; consultants - \$13,246; fiscal administration - \$7,944; newsletter \$6,983; communications - \$1,639; and support services \$760.

SUSTAIN's expenditures of \$318,432 as of 3/31/89 result in a balance of \$40,515 of the amount of \$358,947 obligated to date. At the past expenditure rate of about \$18,000 per month, additional Project SUSTAIN funding would need to be made available by mid-June, 1989 if a disruption in this operation is to be avoided.

The in-kind contributions (Appendix H) for IVACG (\$241,533) and INACG (\$32,125) are substantially the attribution of consultants' time valued at \$500 to \$1,000 daily, and in some cases the related travel costs, while participating in workshops, task forces, steering committee meetings and the large IVACG annual meeting in Addis Ababa (\$147,062) in December, 1987. Project SUSTAIN receives similar support (\$251,500) for workshops and Steering Committee meetings as well as for "reconnaissance" visits to developing countries and information searches for appropriate publications on food processing. ILSI-NF believes the high quality and worth of consultants provided by the private and academic sectors exceed the daily rates used in estimating amounts for in-kind contributions.

INACG funding was limited during FY 1988. A.I.D. made available \$50,000 and non-federal funding (cash) totalled \$68,795. This minimal funding level is consistent with the inactivity noted for this project throughout the year. However, A.I.D. issued a letter of credit for an additional \$229,000 from the Anemia project in November, 1988 and project activity moved forward in the first quarter of FY 1989.

The ILSI-NF accounting records and reports reviewed during this evaluation were reconciled with the "Financial Status

Reports" (SF-269) and the "Federal Cash Transactions Reports" (SF-272) submitted quarterly to A.I.D.'s Office of Financial Management to account for expenditures under this Cooperative Agreement. Earlier there was some confusion between A.I.D. and ILSI-NF as to maintaining the integrity of the accounting by the three separate funding sources, i.e., by the three projects. The A.I.D. "Agreements" Officer clarified the reporting requirements in a letter of February 9, 1989. In addition there were some minor accounting discrepancies noted, that have been corrected by the ILSI-NF employee recently assigned to maintain these accounts.

Generally, the fiscal system and accounting reports currently maintained by ILSI-NF for this Cooperative Agreement appear to be adequate and reliable, subject to the findings in the audit report mentioned below. While the ILSI-NF accounts are not identical with the Cooperative Agreement budget line items, they are maintained in sufficient detail to meet an acceptable level of accounting standards.

The files at S&T/Nutrition and ILSI-NF do not substantiate that financial reports by budget line item have been submitted to A.I.D. for management purposes before November 15, 1988, over one year after funds were made available under the Cooperative Agreement. Although the Cooperative Agreement does not require financial management reporting other than the two standard forms, # 269 and # 272, which have been submitted as mentioned above, it would be useful for A.I.D. project management in the Office of Nutrition to request and receive quarterly reports by budget line item and by project (recently obtained from ILSI-NF) and also detailed cost analyses for major activities. This kind of accounting information is now readily available at ILSI-NF.

Most costs under this Agreement are direct charges, i.e. staff salaries and travel for personnel assigned to one of the three projects, accounting based on the number of transactions, supplies based on issues, etc. However, certain costs are prorated, e.g., secretariat supervisory costs, office lease,

insurance and audit expenses. The Secretariat for the Cooperative Agreement is allocated 1,000 square feet of office space at \$18 per square foot, or \$18,000 annually, which is prorated to IVACG - 50%, INACG - 17%, and SUSTAIN - 33%. The \$18 per square foot rate for office space is a favorable rate, which is offered by the owner (Electrical Union) to non-profit organizations. Rates for comparable office space in the area range from \$23 to \$30 per square foot.

Costs estimated at \$78,000 related to secretariat supervision (Dr. Chichester) were prorated during the first year of the Agreement on the same basis as for the office lease above, adjusted for blocks of time spent on specific programs. Beginning October 1, 1988, the supervision (Dr. Chichester) costs were prorated as follows: IVACG - 58%, INACG - 25%, and SUSTAIN - 17%. However, adjustments are made on a month-to-month basis as most of the Dr. Chichester's efforts relate to IVACG and INACG. Currently, an estimated average of \$700 of charges for his fee, travel and support services is prorated to SUSTAIN monthly. It is estimated that \$12,000 to \$15,000 has been prorated to SUSTAIN to date for such costs.

ILSI-NF purchased equipment costing \$623 and charged A.I.D. funds. However, non-expendable equipment was not included for A.I.D. funding in the budget. ILSI-NF should adjust their records to reflect these charges as non-reimbursable by A.I.D.

The annual audit of ILSI-NF by their independent auditing firm for the year ending 12/31/88 has been completed, but the audit report has not been issued. A.I.D. should obtain the audit report, when issued, for review and any appropriate action as suggested by the report.

## VI. Conclusions

The evaluation and the collection of data has resulted in some basic conclusions about the execution of the Cooperative Agreement. These conclusions focus on design, implementation, management and financial issues gained from data gathered during this evaluation.

### Design

- The Cooperative Agreement is sufficiently vague as to hinder interpretation by both parties.
- The distinction between a cooperative agreement and a logistical support contract has not been clearly identified by either party in implementing this agreement.
- Functional statements for the secretariat were not included in the Cooperative Agreement or developed subsequently.

### Implementation

- For the recipient, ILSI-NF, the Secretariat as described in the Cooperative Agreement has not been fully established.
- On the A.I.D. side, the project managers have not required compliance with the Cooperative Agreement.
- Resistance to centralization of management and administrative functions has occurred by the three entities, IVACG, INACG, and SUSTAIN, as well as at S&T/Nutrition.
- The three entities, IVACG, INACG, and SUSTAIN, implemented various aspects of the Cooperative Agreement independently for their respective organizations. Therefore, the skill level exists to carry out the agreement.

### Management

- The recipient has not met the reporting requirements and guidelines in the Cooperative Agreement.
- Secretariat communication and liaison activities have not evolved. Those functions have been performed by the

- individual entities, are unstructured and rely on informal networking.
- The long transition period in the directorship of S&T/Nutrition has been a contributing factor in the inadequate organization and management of the Cooperative Agreement.
  - The Board of Directors of SUSTAIN favors an administrative support arrangement as opposed to a supervisory role for the secretariat. They particularly object to additional cost for such support, which diminishes their program funds. However, a promotional, facilitating, advisory role, in addition to logistical support, as indicated in the Cooperative Agreement, Attachment 2, D.2.(h), (i), (j) might be agreeable if clearly and specifically defined. If the latter option is not viable, then merely a logistical support arrangement by ILSI-NF for SUSTAIN may be preferable to the present arrangement, with appropriate amendments to the Cooperative Agreement.

#### FINANCIAL

- The financial reporting required by the Cooperative Agreement does not provide sufficient information or analysis of the budget line items for A.I.D. to monitor effectively the financial aspects of the activities under the Agreement. Recently, the A.I.D. Agreements Officer has requested and the A.I.D. project officer has received financial reports by budget line items by projects. These reports should be supplemented with analyses of the major costs.
- Expenditures were under the overall budget pro-rata amount in the Cooperative Agreement for the first 18 months. However, the publications, reports and other productive activity for IVACG and INACG under the Cooperative Agreement would seem to be less than anticipated.

- The appropriateness of allocating the salary of the secretariat position (Project Manager) and related costs to SUSTAIN (inasmuch as minimal attribution seems justified by existing operations) is questioned.
- The charge to A.I.D. funding of the Project Manager's airfare and per diem to and from work and related administrative office costs outside the ILSI-NF office in Washington is questioned. (It may be more appropriate for these costs to be ILSI-NF in-kind contribution.)
- ILSI-NF interprets the clause in the Cooperative Agreement, Attachment 2, D. 5., Contribution of funds, to mean the employers' contribution of consultants' time (market value) as complying with this cost sharing requirement (See Appendix H).

The Cooperative Agreement continued largely to be implemented as in the past under separate grants as well as to be monitored by A.I.D. as three separate projects. A single secretariat as envisioned in the Cooperative Agreement was not developed. There are some specific lessons learned. These focus in the following areas:

1. The creation of a Cooperative Agreement to perform basically management, logistical and fiscal activities may not be the best option;
2. Management and administrative services must be monitored;
3. The lack of appropriate management system for S&T/Nutrition with regard to the Cooperative Agreement needs to be rectified.

## VII. Recommendations

### GENERAL

In accordance with the Cooperative Agreement, Attachment 1, F.4 page 9, A.I.D. should meet with ILSI-NF to determine if the following recommendations are practical to implement in executing this Cooperative Agreement with cited modifications, or if the option of replacing the Cooperative Agreement with a contract for logistical support is more feasible from a management and operational perspective. The latter is closer to what is presently in place. (Deadlines and follow - up procedures should be set for taking action on these recommendations, if it is decided to continue with the Cooperative Agreement.)

1. Define specifically the leadership role to be played by the secretariat as provided for in the Cooperative Agreement, Attachment 2, D.2 (h), (i), and (j).
2. Determine whether Project SUSTAIN should be included for more than logistical support.
3. Develop management systems to implement the Cooperative Agreement (both A.I.D. and ILSI-NF).
4. Formalize the organizational chart of the secretariat (put it in writing and distribute it within A.I.D. and as appropriate within the development community).
5. Prepare precise functional statements for S&T/Nutrition, the Secretariat, IVACG, INACG, and Project SUSTAIN with respect to the responsibilities for this agreement.

### ILSI-NF

1. Separate the Secretariat role and implement as defined in the Cooperative Agreement (see #1 under General above).
2. Establish and maintain a records management/filing

system which includes but is not limited to the following file designations:

- a. Cooperative Agreement
  - b. project correspondence (chron)
  - c. project correspondence (specific)
  - d. mailing lists
  - e. planning
  - f. reporting requirements - schedule
    - annual
    - trip
    - quarterly
  - g. fiscal records by quarter per program
  - h. program descriptions
  - i. fiscal records by project for input to cooperative agreement
  - j. separate activity files - i.e. task forces, meetings, etc.
  - k. A.I.D. contacts
  - l. list of consultants and qualifications
3. Maintain trip reports for visits out of the office for members of the entities and the secretariat. Reports must be submitted to A.I.D. project officers.
  4. Develop files for the Secretariat including any of those in #2 above with overall interest, but also:
    - a. fiscal data by quarter for the secretariat
    - b. program problems and issues
    - c. management problems and issues in implementing the Cooperative Agreement
    - d. internal reviews or audits
    - e. furniture and equipment
    - f. office lease, etc.
    - g. files for IVACG, INACG, SUSTAIN
    - h. planning for the secretariat
    - i. communications
    - j. personnel and organizational charts

- k. policy
  - l. publications
  - m. A.I.D. program management of the Cooperative Agreement
5. Obtain agreements officer's disposition of questioned costs to be reimbursable under the Cooperative Agreement, i.e. \$623 of equipment purchases; project manager's airfare, per diem, and secretary support from residence in Rhode Island (estimated at \$16,000 to 3/31/89); proration of Project Manager's charges to SUSTAIN with support for such prorations (estimated at \$12,600 to 3/31/89).
  6. Identify the key personnel for the Secretariat, notify A.I.D. and request approval.
  7. Establish a reporting schedule based on the requirements in the Cooperative Agreement.
  8. Establish communications with at least six international, government, private voluntary organizations which deal with anemia, vitamin A, and food processing. Send an introductory letter which describes the Secretariat and its various responsibilities including, introductory information on the secretariat; a list of available services, location and telephone number, as well as hours of operations for various services, a list of personnel and their responsibilities.
  9. Develop and standardize (ILSI-NF), in collaboration with the INACG, IVACG and Project SUSTAIN steering committees, criteria for selecting material for publications in monographs, papers, and reports and disseminate these criteria to the three organizations.

AID/S&T/Nutrition

1. S&T/Nutrition needs to separate the management activities of the Cooperative Agreement from the

individual projects. A manager needs to be hired to oversee the implementation of the Cooperative Agreement.

2. Select project officers in S&T/Nutrition to attend an A.I.D. project management course.
3. Request AID/SER/MO/Records Management to conduct an audit of the S&T/Nutrition filing system, retiring appropriate files and establishing an appropriate filing system.
4. Establish and maintain a filing system for each project and the secretariat, which should include but not be limited to:
  - a. Cooperative Agreement
  - b. general project file
  - c. correspondence related to the Cooperative Agreement and its implementation
  - d. specific project activities by quarter
  - e. planning files
  - f. reporting requirements
  - g. telephone communications or maintain a log of project files
  - h. fiscal records for project
  - i. fiscal records for project to Cooperative Agreement
  - j. mailing list
  - k. meetings
  - l. reports - annual, quarter, trip
5. Assure that files relating to specific projects are maintained on a current basis.
6. Add workplans as another reporting requirement to the Cooperative Agreement.
7. Clearly identify the specific guidelines and reporting requirements. These should include but not be limited to:

- a. plan activities during the year (activity , where to be held, when to be held, and participants)
  - b. specific project activities by quarter
  - c. activities linked to project goals - clear identification of goals and objectives
  - d. group activities by subject -workshops, seminars, trips, steering/executive meetings
  - e. project budget for each quarter
  - f. identify individual involvement - consultants, etc
  - g. type of publication, number of times printed or published, distribution by quarter
  - h. time schedule (once a year for the previous year.)
8. Obligate additional Project SUSTAIN funds, based on SUSTAIN'S budgetary requirements, and request the Office of Financial Management to issue a Letter of Credit to ILSI-NF.
  9. Request the Agreements Officer's views concerning the appropriateness of the "recipient's" interpretation of the clause in the Cooperative Agreement, Attachment 2, D. 5., Contribution of funds, as meaning "In-kind" contribution (Appendix H).

Based on actions taken on the recommendations in the foregoing sections, amend the Cooperative Agreement, including emphasis on those objectives which relate to a specific entity and those that only relate to the secretariat.

## APPENDICES

LIST OF PERSONS INTERVIEWED

A. Agency for International Development

- o Dr. Francis Davidson Vitamin A Project Manager  
Secretariat Program Manager  
Rm 411 SA18  
703 -875-8176
- o Dr. Norge Jerome Director A.I.D./S&T/Nutrition
- o Dr. Nicolaas Luykx Project SUSTAIN Project Manager
- o Dr. Sam Kahn Anemia Project Manager
- o Jay Bergman Contracts/Agreement Officer
- o Ellen Wills Contracts/Agreement Officer
- o Brenda Colwell Program Analyst
- o Sally Mahone FFP Previous Program Analyst in S&T  
Nutrition
- o Barbara Felton AID/SER/MO/Records Management

B. The following were contacted via telephone interview

Board of Directors Project SUSTAIN:  
Dr. Ray Tarleton, (612) 454-7250  
Dr. John Nelson, (301) 771-7113

Office of Technical Resources, Africa Bureau-  
Ms. Neen Alrutz, Nutrition Advisor (647-9232)

Office of Food and Voluntary Agencies, Bureau for  
Private Voluntary Cooperation(FVA/PVC)-  
Mr. John McEnaney, PVO Project Officer (875-4718)

Office of Technical Resources, Bureau for Latin America and  
Caribbean - Ms. Julie Klement, Nutrition Advisor (647-5136)

Bureau for Program Planning and Coordination-  
Nancy Pielemier, Nutrition Advisor (647-8928/6974)

Office of Technical Resources, Asia and Near East Bureau-  
Ms. Linda Lou Kelly, Nutrition Advisor (647-8152/7585)

Office of Health, Bureau for Science and Technology-  
Ms. Pamela Johnson, Child Survival Program Coordinator  
(875-4504/4670)

Office of International Coordination and Development,  
U.S. Department of Agriculture- Mr. Paul Crowley, Director  
(OUT OF TOWN) Dr. Fred Barret, Deputy Director (653-8663)

Manoff International- Ms. Marcia Griffiths (265-7469)  
Mr. Mike Favin

Academy for Educational Development Health and Population-  
Mrs Margaret Parlato, Program Office (862-1900)  
Dr. Claudia Fishman

C. INDIVIDUALS INTERVIEWED AT ILSI-NF  
1126 16th Street, NW, Room 111  
Washington, D.C.

IVACG/INACG

Dr. C.O. Chichester  
Ms. Laurie Lindsey  
Ms. Anne Hill

SUSTAIN

Dr. Irwin Hornstein  
Ms. Maria Pas Barrientos

ILSI-NF

Dr. Tim Morck  
Dr. Roger Middlekauf  
Ms. Sherie Lopez

Treasurer/Accounting

Ms. S. Coleman  
Ms. S. Lucey

Appendix B

Pg. 1 of 1

PERSONNEL  
SECTION D.4

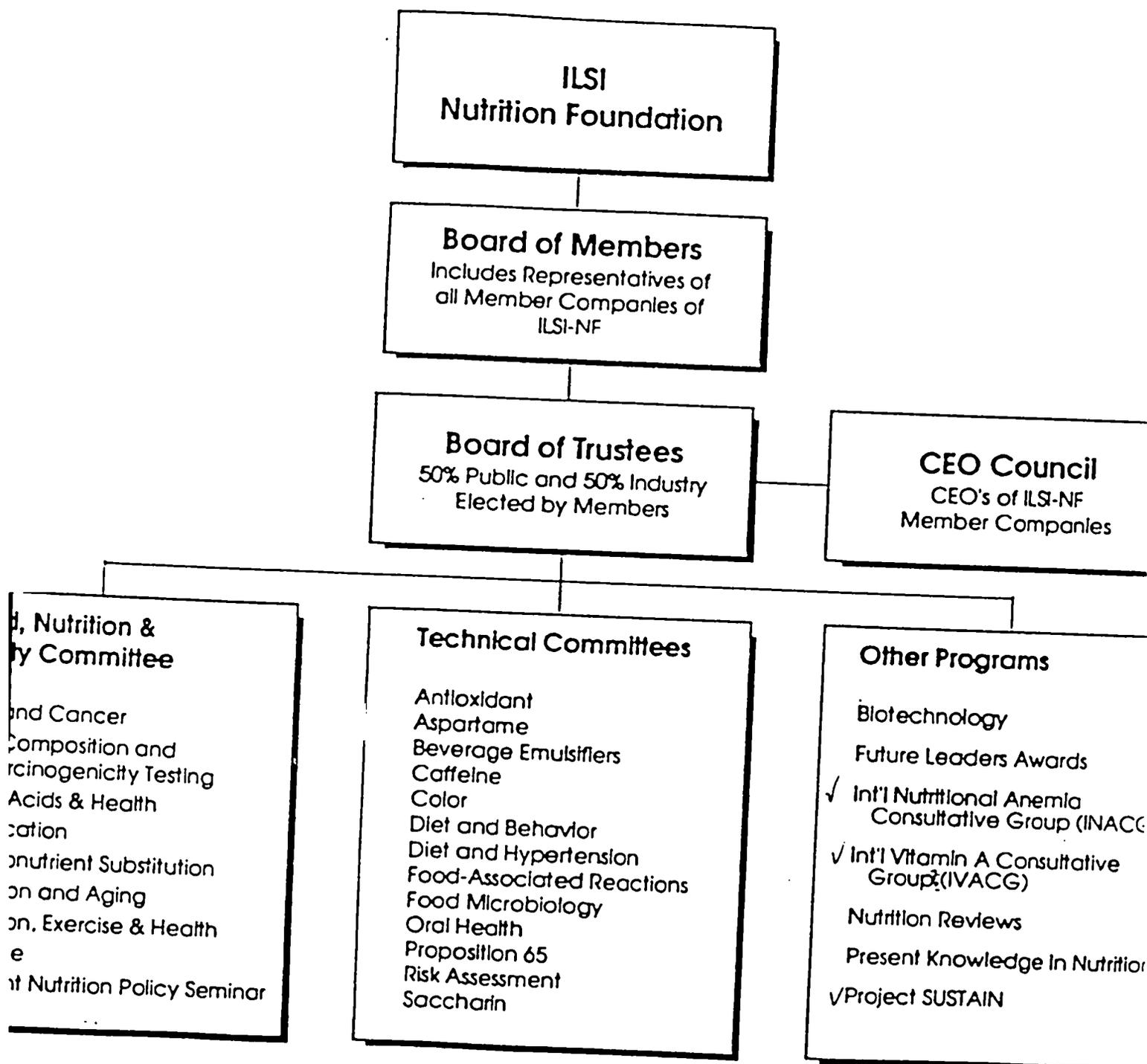
<u>NAME</u>	<u>TITLE</u>	<u>% TIME</u>	<u>FUNCTION</u>
Maria Paz Barrientos	Admin. Assistant	100	Assists Manager Project SUSTAIN
C.O Chichester, Ph.D.*	Project Manager	40	Oversees Three Secretariat Functions
Anne Hill	Admin. Assistant	75-IVACG 25-INACG	Assists Manager
Irwin Hornstein, Ph.D.*	Program Manager	40	Manages Project SUSTAIN
Laurie Lindsey *	Program Manager	75-IVACG 25-INACG	Manages IVACG and INACG
Sheri Lopez	ILSI-NF Admin.	10**	Oversees Administrative Aspects
Timothy Morck, Phd.	Director of Nutrition ILSI-NF	20**	Oversees the Management of Cooperative Agreement
Roberta Gutman	Manager of Publications	5**	Assists in Publishing Secretariat Documents

\* Names are in original Technical Proposal submitted by ILSI-NF.  
\*\* Individuals are not charged to A.I.D. funds, but considered as ILSI-NF overhead.

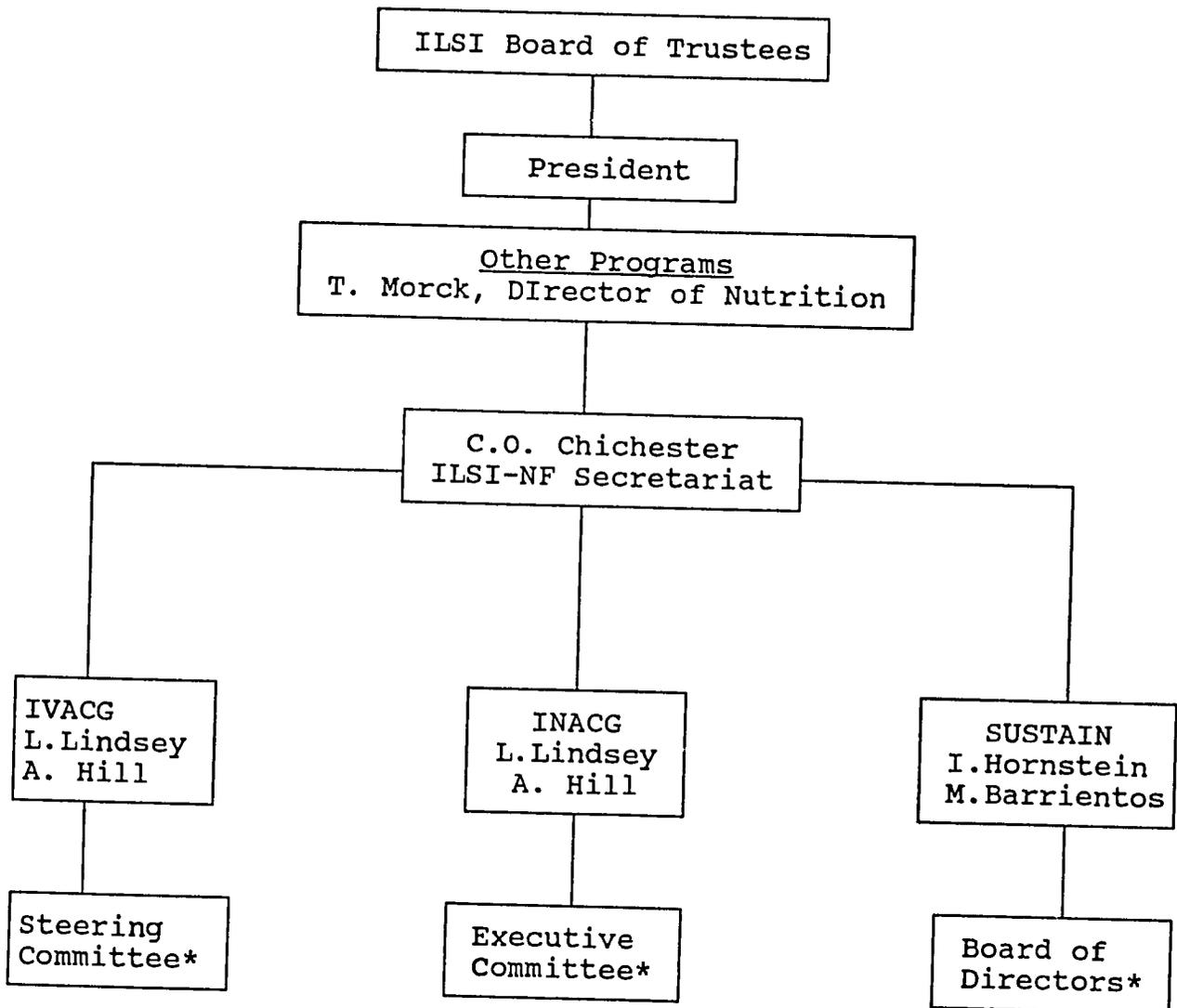
Note: Personnel were never officially cleared by Dr. F. Davidson, A.I.D. Program Officer for the Cooperative Agreement.

ILSI-NF - North American Branch

# North American Branch of ILSI



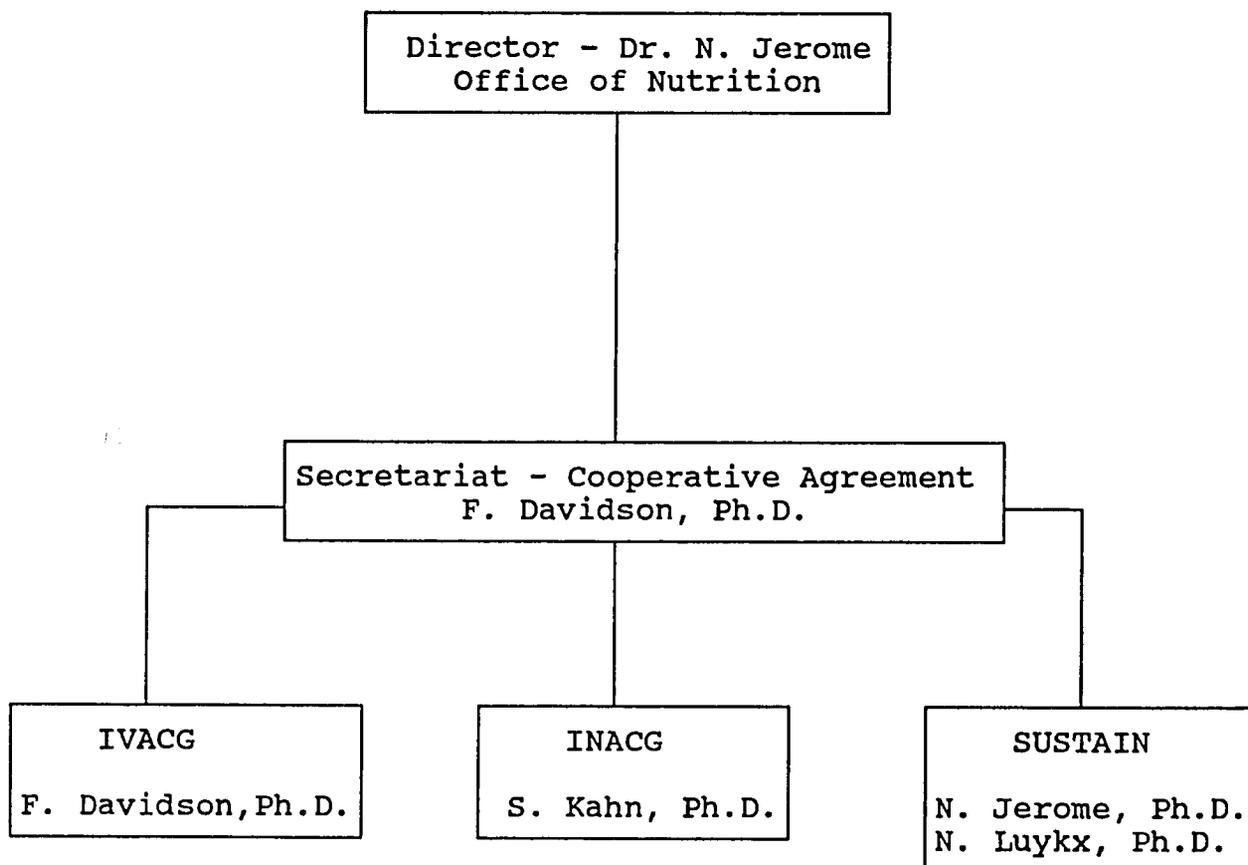
Organization Chart  
ILSI-NF Secretariat  
(Verbal Explanation at Briefing on May 9, 1989)



\* A revised organization chart should show these Committees/Board above the Secretariat.

Appendix F provides a description of the duties of the respective organizations.

Organizational Chart  
A.I.D. S&T Nutrition



Appendix D

Pg. 1 of 6

ANNUAL REPORTS  
Comparative Analysis  
Section E.2(b)(1) a - c

<u>ELEMENTS</u>	<u>IVACG</u>	<u>INACG</u>	<u>SUSTAIN</u>
Years Activities	1	1	1
Technical/Scientific	2	2	1
Managerial Assessment	4	4	4
Fiscal Information	3	2	4
Review of Program and Problems to Date	4	4	4
Significant Issues or Failures of Cooperative Agreement	4	4	4
Workplans	2	4	4
Budget Review by Categories	3	4	4
TOTAL	<u>23</u>	<u>23</u>	<u>26</u>

RATING SCALE

- 1 = TOTALLY ADEQUATE
- 2 = ADEQUATE
- 3 = INADEQUATE
- 4 = TOTALLY INADEQUATE
- 0 = NOT APPLICABLE

8 = Totally adequate  
32 = Totally inadequate

QUARTERLY REPORTS  
Comparative Analysis  
INACG, IVACG, SUSTAIN

RATINGS

	<u>Date</u>	<u>Date</u>	<u>Date</u>	<u>Date</u>	<u>Date</u>
<u>ELEMENTS</u>					
Goals					
Timely Submission					
Actual Accomplishments					
Goals Not Accomplished					
Other Pertinent Information					
Problems, Delays, Adverse Conditions					
Favorable Developments					
Time Schedules					

RATING SCALE

- 1 = Totally Adequate
- 2 = Adequate
- 3 = Inadequate
- 4 = Totally Inadequate
- 0 = Not Applicable

(8 = Totally Adequate; 32 = Totally Inadequate)

NOTE: ILSI-NF has not prepared quarterly performance reports for submission to S&T/Nutrition as required by the Cooperative Agreement.

CHECKLIST FOR TRIP REPORTS

Comparative Analysis  
Section E.2 (C)

<u>ELEMENTS</u>	<u>RATING</u>		
	<u>IVACG</u>	<u>INACG</u>	<u>SUSTAIN</u>
Purpose of the Trip (Place and Date)	4	4	1
Technical Observations	4	4	1
Suggestions/Recommendations	4	4	2
Impressions of the Site Situation	4	4	2
List of Persons Interviewed (Titles and Organizational Affiliation)	4	4	1
Timely Submission - 20 Days Following Completion of Each Trip	4	4	1
TOTAL	24	24	8

RATING SCALE

- 1 = Total Adequate
- 2 = Adequate
- 3 = Inadequate
- 4 = Totally Inadequate
- 0 = Not Applicable

- 6 = Totally Adequate
- 24 = Totally Inadequate

MISCELLANEOUS DOCUMENTATION  
IVACG

Comparative Analysis

Section D.3 (a - f)	<u>TF</u>	<u>S/E</u> <u>Mtg</u>	<u>Pub.</u>
How many documents were completed?	6*	2	4
Are there established criteria?	No	No	Yes
Were documents submitted to AID?	2	2	4
Were documents for the TF and S/E MTG submitted immediately after each meeting?	No	Yes	-
Is there a mailing list?	Yes	Yes	Yes
How many documents have actually been distributed since 9/30/87?	6	2	4

TF= Task Forces, S/E Mtg = Steering/Executive Meetings, Pub = Publications.

\* IVACG held eight Task Force meetings under this Cooperative Agreement.

INACG

Section D.3 (a - f)

	<u>TF</u>	<u>S/E Mtg</u>	<u>Pub.</u>
How many documents were completed?	2	0	2
Are there established criteria?	no	no	(a)
Were documents submitted to AID?	0	0	2
Were documents for the TF and S/E MTG submitted immediately after each meeting?	no	no	-
Is there a mailing list?	yes	yes	yes
How many documents have actually been distributed since 9/30/87?	0	0	2

TF= Task Forces, S/E Mtg = Steering/Executive Meetings, Pub = Publications.

(a) Criteria rests with the Nutrition Community

Section D.3 (a - f)	<u>SUSTAIN</u>		
	<u>S/E</u> <u>Mtg</u>	<u>N</u>	<u>C/W</u>
How many documents were completed?	3	4	8
Are there established criteria?	-	(a)	-
Were documents submitted to AID?	Yes	Yes	Yes
Were documents for the S/E MTG submitted immediately after each meeting?	Yes	-	-
Is there a mailing list?	Yes 17	Yes 1600	Yes 15
How many documents have actually been distributed since 9/30/87?	51	6600	60

S/E Mtg = Steering/Executive Meetings, N= Newsletters, C/W = Conference/Workshop Reports

(a) Criteria rests with the Nutrition Community.

Notes for Appendix D, pages 3 to 6

1. Elements for all analyses were extracted from the cooperative agreement under each report or document.
2. Miscellaneous documents were those that were mentioned in the cooperative agreement but did not require submission to A.I.D. S&T/Nutrition or financial management.

Appendix E

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Documents Reviewed for Evaluation

AID

- Cooperative Agreement
- Technical Proposal
- Correspondence
- Publications
- 1988 Evaluations  
Anemia and Vitamin A  
projects - only a  
substantive evaluation
- SF 269 Financial Status  
Report
- SF 272 Federal Cash  
Transactions Report

ILSI-NF

- Project Files (IVACG, INACG, SUSTAIN)
- Newsletters (ILSI, SUSTAIN)
- Annual reports
- Trip reports (SUSTAIN only)
- Fiscal documents

SECRETARIAT FUNCTIONS  
IVACG, INACG AND SUSTAIN  
COOPERATIVE AGREEMENT ATTACHMENT 2 (B) 1-4

ORGANIZATION

FUNCTIONS

IVACG

Participates in as a non-voting member and implements the decisions of the Steering Committee by :

- \* organizing meetings of task forces, subcommittees, and working groups;
- \* arranging for international conferences;
- \* maintaining correspondence and liaison with various international organizations;
- \* arranging for the writing, editing, and publication of various manuscripts; and
- \* other such activities that may be required.

INACG

Participates in and implements the decisions of the Executive Committee by:

- \* organizing meetings of task forces, subcommittees, and working groups;
- \* arranging for international conferences;
- \* maintaining correspondence and liaison with various international organizations;
- \* arranging for the writing, editing, and publication of various manuscripts; and
- \* other such activities that may be required.

SUSTAIN

Participates in the meetings of the Steering Group, and implements various activities agreed upon by the Steering group such as:

- \* soliciting requests for assistance from food processing companies in developing countries
- \* soliciting scientists and technicians from U.S. companies and other sources to carry out technical assistance assignments.
- \* assists in clearing proposed activities with USAID MISSIONS in accordance with AID procedures.
- \* issuing a technical newsletter.
- \* conduct on-site assistance at a food processing plant or other facility in a developing countries, arranging consultations at U.S. plants, conducting training courses at U.S Facilities.

ILSI - NF

Cooperative Agreement No. DAN 5115-A-00-7114-00  
Comparative Analysis - Budget (pro-rata) vs. Expenditures

	BUDGET 9-30-87 to 9-30-92	PRORATION for 18 months  (30%)	EXPENDITURES 9/30/87 - 3/31/89				VARIANCE (Over) Under
			IVACG	INACG	SUSTAIN	TOTAL	
Salaries and fees (A)	954,778						
Fringe Benefits	<u>70,626</u>						
	1,025,404	307,621	137,006	41,230	100,836	278,921	28,700
Consultants	50,000	15,000	6,958	2,251	19,037	28,246	<13,246>
Publications (B)	175,000	52,500	14,979	1,402	---	16,381	36,119
Newsletter (SUSTAIN)	50,000	15,000	---	---	21,983	21,983	<6,983>
Other Support Services	75,000	22,500	12,595	6,176	5,656	23,260	<760>
Expendable Supplies	86,000	25,800	5,355	1,333	2,653	9,341	16,459
Office Rent	90,000	27,000	10,886	1,455	7,016	21,524	5,476
Fiscal Administration	81,000	24,300	16,199	5,139	10,907	32,244	<7,944>
Communications	157,000	47,100	30,718	8,071	9,950	48,739	<1,639>
Training (C)	128,000	38,400	---	---	21,686	21,686	16,714
Meeting Room Rentals	10,000	3,000	223	564	86	873	2,127
Travel & Per Diem	750,000	225,000	154,958	46,386	84,496	285,840	<60,840>
Adjustments	----		13	165	9	187	<187>
	<u>2,677,404</u>	<u>803,221</u>	<u>389,889</u>	<u>115,022</u>	<u>284,314</u>	<u>789,225</u>	<u>13,996</u>
Overhead	<u>321,289</u>	<u>96,387</u>	<u>46,787</u>	<u>13,803</u>	<u>34,118</u>	<u>94,707</u>	<u>1,680</u>
TOTALS	2,998,693	899,608	436,676	128,825	318,432	883,932	15,676

Notes: For this comparison the "global" five year budget in the Cooperative Agreement was used and prorated for 18 months. It was noted in the financial reports submitted to AID/S&T Nutrition that ILSI-NF had developed budgets for FY88 and FY89, which are within the prorated budget total in the Cooperative Agreement, but differ by budget line item. (A.I.D. has requested new budgets from ILSI-NF for approval.)

- (A) Includes fees paid to Drs. Chichester and Hornstein.  
 (B) Cost of editorial services included under the Publications account.  
 (C) ILSI-NF accounts include Training costs under the Travel/Meeting account. This analysis indicates at least \$21,686 was expended by SUSTAIN for training.

Appendix H

Pg. 1 of 2

IN-KIND CONTRIBUTIONS  
Cooperative Agreement, Attachment 2, D.5. \*

IVACG

October-December 1987:

XII IVACG Meeting in Addis Ababa, Ethiopia \$ 147,062

January-July 1988:

Meetings in Washington, D.C. for revision of "Guidelines for the use of VITamin A Supplements", in London for the Steering Committee, and an editorial meeting in Washington, D.C. for a publication on Vitamin A intervention programs. 21,527

August 1988-March 1989:

WHO Publications 16,000  
Communication/Education Task Force meeting in Washington, D.C. 8,718  
Laptop computer from ILSI-NF 1,838  
Communication/Education Task Force meeting in Rome 16,500  
Steering Committee meeting in Rome 7,128  
Regional Representatives for Africa orientation session in Rome 2,900  
Task Force meeting on integration of Vitamin A distribution with Immunization programs 13,960  
Communication/Education Task Force sub-group meeting in Washington, D.C. 2,200  
Meeting Room, ILSI-NF 1,000  
Abstract review and planning session for XIII IVACG meeting in Washington, D.C. 2,700

Total In-Kind Contribution (IVACG 10/1/87 - 3/31/89) \$ 241,533

INACG

October 1988-March 1989:

Laptop computer from ILSI-NF \$ 613  
Task Force meeting in Geneva on relationship of Anemia and Mental Development 4,000  
Workshop on Maternal Nutritional Anemia in Geneva 21,812  
Task Force meeting on Maternal Nutritional Anemia in Geneva 5,700

Total In-Kind Contribution (INACG 10/1/87 - 3/31/89) \$ 32,125

SUSTAIN

October - December 1987:		
Workshops and related consultancies in Panama, Kenya and Peru		\$ 33,500
Steering Group bi-annual meeting		10,400
Information searches		5,500
January - March 1988:		
Reconnaissance visit to Yemen		18,000
Evaluation of Food Quality Assurance course		13,500
Information searches		10,000
April - June 1988:		
Steering Group bi-annual meeting		10,400
Information searches		2,500
July - September 1988:		
Steering Group committee meeting		7,800
Clemson University short course		4,500
Reconnaissance visits to Honduras and Pakistan		34,500
Information searches		6,000
October - December 1988:		
Workshops in Yemen, Kenya, Peru, Honduras and Belize		33,500
Bi-annual Steering Group meeting		10,400
Information searches		5,000
January - March 1989:		
Workshops in Pakistan and Honduras		21,500
Reconnaissance visit to Swaziland		18,000
Information searches		6,500
Total In-Kind Contribution (SUSTAIN 10/1/87-3/31/89)		<u>\$ 251,500</u>

\* ILSI-NF interprets this clause in the Cooperative Agreement, "Contribution of funds", to mean "In-Kind" contributions as summarized above. In computing the value of consultants' time engaged in these assignments, ILSI-NF uses from \$ 500 to \$ 1,000 per day. ILSI-NF attempts to "piggy-back" Steering Group and other small meetings onto large meetings, or conferences to extent feasible.

Evaluation Protocol  
ILSI-NF Secretariat Role

This evaluation will include the three(3) phases listed below. Plans call for completing phase I during week I, etc.,. In addition week 3 will include covering other areas of concern developed during the evaluation, issues in phases 1 and 2 that were not fully resolved, and drafting of the report.

I. A.I.D.

- meet with Director, Office of Nutrition and Officer in Charge of the evaluation.
- obtain and analyze cooperative agreement.
- develop protocol for evaluation
- obtain and analyze all financial reports of the secretariat with supporting reports for three entities.
- obtain and analyze annual reports from secretariat
- obtain list of secretariat key personnel, dates of employment and A.I.D. approval letters.
- examine credentials of secretariat's Project Managers (Cooperative Agreement D.4 page 27)
- prepare interview questionnaire (copy attached)
- meet with program manager, project managers and program analyst (incumbent and predecessor).
- meet with contract/agreement officer.
- develop project management organization chart presenting counterpart relationships.
- review trip reports and project managers comments
- review project papers

- review relevant cable traffic
- review evaluation reports
- examine control procedures relevant to disbursement of project funds.

II. ILSI-NF (Secretariat)

- orientation meeting
- obtain organization charts
- develop questionnaire
- interview project managers
- obtain and analyze copies of all require reports (financial and program reports) not found at A.I.D.
- review technical reports and publications
- review activity concept papers
- review trip reports
- observe adequacy and utilization of office space]
- review fiscal accounts and records.
- assess the filing system.

III. Other

- review other project related documents
- review prior evaluation reports
- interview staff of IVACG, INACG, and SUSTAIN
- interview (telephone) consultants, Universities, PVO, etc.,
- interview technical Nutrition and Agriculture officers in A.I.D. regional bureaus and PPC.

IVACG In-Kind Funds for 1 August 1988 through 30 September 1988

<u>Organization</u>	<u>Person/goods/ service</u>	<u>Estimated value</u>	<u>Flight Info</u>	<u>Estimated per diem</u>	<u>Estimated air fare</u>	<u>Estimated total</u>
1 September 1988						
WHO	publication	\$18000	---	---	---	\$18000
15-18 September 1988						
ILSI-NF	Meeting room (2)	\$1000	---	---	---	\$ 1000
A. Sethi & Manoff Group	A. Sethi (2)	\$1200	---	\$ 134	---	\$ 1334
FAO	F. Simmersbach (2)	\$1000	Rome/DC	\$ 234	\$ 1050	\$ 2284
M. Solow	M. Solow (2)	\$2000	---	---	---	\$ 2000
Manoff Group	M. Fevin (2)	\$1400	---	---	---	\$ 1400
Acad. for Ed. Devel.	C. Fishman (1)	\$ 700	---	---	---	\$ 700
IVACG subtotal-1 August 1988 through 30 September 1988		\$23300		\$ 368	\$ 1050	\$24718

IVACG In-Kind funds for 1 October 1988 through 31 March 1989

<u>Organization</u>	<u>Person/goods/ service</u>	<u>Estimated value</u>	<u>Flight Info</u>	<u>Estimated per diem</u>	<u>Estimated air fare</u>	<u>Estimated total</u>
6 October 1988						
ILSI-NF	laptop computer computer acc. software-WP 5.0 diconix printer	\$1838	---	---	---	\$ 1838
17-21 October 1988						
FAO	Meeting room (3)	\$1500	---	---	---	\$ 1500
FAO	F. Simmersbach (5)	\$2500	---	---	---	\$ 2500
A. Sethi	A. Sethi (5)	\$3000	---	---	---	\$ 3000
M. Solow	M. Solow (5)	\$5000	---	---	---	\$ 5000
Swallows in India	S. Reddy (3)	\$1500	---	---	---	\$ 1500
Worldview Int'l Foundation	A. Barua (3)	\$1500	---	---	---	\$ 1500
Nutr. Ctr. of Philippines	F. Solon (3)	\$1500	---	---	---	\$ 1500
20-21 October 1988						
FAO	Meeting room (2)	\$1000	---	---	---	\$ 1000
NEI	B. Underwood (2)	\$1200	---	---	---	\$ 1200
ICEPO	A. Sommer (2)	\$1800	DC/Rome	\$ 278	\$ 1050	\$ 2928
Addis Ababa Univ.	D. Habte (2)	\$1000	---	---	---	\$ 1000
Nutr. Ctr. of Philippines	F. Solon (2)	\$1000	---	---	---	\$ 1000
24 October 1988						
FAO	Meeting room (1)	\$ 500	---	---	---	\$ 500
NEI	B. Underwood (1)	\$ 600	---	---	---	\$ 600
Addis Ababa Univ.	D. Habte (1)	\$ 500	---	---	---	\$ 500
MOH Malawi/Kamuzu Hosp.	M. Chirambo (1)	\$ 500	---	---	---	\$ 500
J.S. Dialo	J.S. Dialo (1)	\$ 800	---	---	---	\$ 800
26-27 January 1989						
WHO	Meeting room (2)	\$1000	---	---	---	\$ 1000
NEI	B. Underwood (2)	\$1200	---	---	---	\$ 1200
ICEPO	S. Sommer (2)	\$1800	DC/Geneva	\$ 320	\$ 800	\$ 2720
R. Noordin	R. Noordin (2)	\$1800	---	---	---	\$ 1800
WHO-EPI	N. Cohen (2)	\$1200	---	---	---	\$ 1200
London Sch. Hyg/Trop Med	A. Tomkins (2)	\$1000	---	---	---	\$ 1000
JNSP/WHO/UNICEF	A. Paganini (2)	\$1000	NY/Geneva	\$ 320	\$ 800	\$ 2120
WHO-EPI	R. Henderson (2)	\$1000	---	---	---	\$ 1000
CDC	L. Markowitz (2)	\$1000	Atlanta/Geneva	\$ 320	\$ 800	\$ 2120

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