This publication was made possible through support provided to the Dry Grain Pulses Collaborative Research Support Program (CRSP) by the Bureau for Economic Growth, Agriculture, and Trade, U.S. Agency for International Development, under the terms of Grant No. EDH-A-00-07-00005-00 The opinions expressed herein are those of the authors and do not necessarily reflect the views of the U.S. Agency for International Development.
THE DRY GRAIN PULSES COLLABORATIVE RESEARCH SUPPORT PROGRAM (CRSP)

GLOBAL PROGRAM VISION:
- Contribute to economic growth and food and nutritional security through knowledge and technology generation related to pulses
- Contribute to sustainable growth and competitiveness of pulse value-chains utilizing socially and environmentally compatible approaches
- Build sustainable capacity of agriculture research institutions in USAID priority countries, and
- Be a resource for and provide technical services to USAID Missions and other public and private sector organizations for the benefit of developing country (Africa and Latin America) and U.S. agriculture.

Management Office, Michigan State University:
- Program Director- Dr. Irvin E. Widders, widders@msu.edu
- Associate Program Director- Dr. Cynthia Donovan, donovanc@anr.msu.edu
- Administrative/Financial Officer- Mr. Ben Hassankhani, hassankh@msu.edu
- Communications Specialist- Dr. Marguerite Halversen, halverse@anr.msu.edu
- Program Secretary- Ms. Gloria Bateman, bateman@anr.msu.edu

Office of Contract and Grant Administration, Michigan State University:
- Senior Contract and Grant Administrator- Evonne Pedawi, pedawi@msu.edu

Office of Agricultural Research and Policy, Bureau of Food Security, USAID/Washington:
- Agreement Officer’s Technical Representative (AOTR)- Dr. Larry Beach, lbeach@usaid.gov

FOR FURTHER INFORMATION, CONTACT:
- Dry Grain Pulses CRSP
- Michigan State University
- Agriculture Hall
- 446 W. Circle Drive, Room Number 321
- East Lansing, Michigan 48824-103 U.S.A.
- Phone: (517) 355-4693
- Fax: (517) 432-1073
- Email: dgpcrsp@msu.edu
- Web: www.pulsecrsp.msu.edu/
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I. PROGRAM OVERVIEW

The overall goal of the Dry Grain Pulses CRSP is to alleviate poverty and achieve nutritional and food security through sustainable development of dry grain pulse value-chains. The technical priorities of the Dry Grain Pulses CRSP (here-to-after called the “Pulse” CRSP) are embodied in the following four Global Themes:

A. GLOBAL THEMES OF PULSE CRSP
   A. To reduce bean and cowpea production costs and risks for enhanced profitability and competitiveness.
   B. To increase the utilization of bean and cowpea grain, food products and ingredients so as to expand market opportunities and improve community health and nutrition.
   C. To improve the performance and sustainability of bean and cowpea value-chains, especially for the benefit of women.
   D. To increase the capacity, effectiveness and sustainability of agriculture research institutions which serve the bean and cowpea sectors and developing countries.

B. OVERVIEW OF THE DRY GRAIN PULSES CRSP ORGANIZATIONAL STRUCTURE
II. PROGRAM ADMINISTRATIVE STRUCTURE AND FUNCTION

A. MANAGEMENT

Management Entity
The Dry Grain Pulses CRSP was initiated in September 2007 with a five-year grant from USAID/W to the Management Entity (ME), Michigan State University (MSU), who is ultimately responsible for the conduct of the grant. The Director of the MSU Contract and Grant Administration accepts and signs on behalf of MSU for USAID/W funds, with that acceptance subsequently ratified by the MSU Board of Trustees. Programmatic responsibility rests with the College of Agriculture and Natural Resources through the Director of the Institute of International Agriculture.

Management Office
MSU has organized and designated the Management Office (MO) as its functional arm. The MO, which handles all the day-to-day management of the CRSP, is staffed by a Program Director, Associate Director, Administrative/Financial Officer, Communications Specialist and a program secretary. This team, representing social and biological research management expertise as well as strong financial-administrative competence, works closely with the MSU Contract and Grant Administration to ensure the contract is administered within the rules and regulations of MSU as well as those of USAID/W.

Responsibilities of the Management Office include, but are not limited to:

1. Establish and manage a portfolio of high quality, innovative and integrated research, training, and outreach projects related to pulses (e.g., beans and cowpeas) that speak to the needs of the stakeholders, policy makers and development professionals. This entails: putting in place a competitively selected project portfolio; establishing sub-agreements with participating institutions; facilitating communications within and among projects to promote multi-disciplinary collaboration, maximize synergies and avoid duplication; and being the primary point of contact for USAID for acquiring synthesized information on progress and outputs from CRSP activities.

2. Monitor technical progress and performance of sub-awards, prepare annual reports, and collect success stories of where outputs contributed to changes in policy, practices or developmental impacts, synthesize information to formulate coherent program results and lessons learned, and distribute widely this information to partners and stakeholders.

3. Fulfill financial management and reporting responsibilities to USAID.

4. Develop, implement and actively participate in program level strategies to gain additional support and resources for broader developmental outcomes and impacts.

5. Administer Associate awards received from USAID country and regional Missions and USAID/Washington.

6. Contribute to the goals of the CRSP Council and provide intellectual leadership in a focal area for developmental impact (e.g., health and nutrition).

7. Serve as the primary point of contact for USAID and act as an “on call” advisor and intellectual resource to USAID on substantive issues and technical assistance services associated with dry grain pulses.

Responsibilities of Management Office Staff
Program Director: Provide strategic leadership for and oversee day-to-day programmatic and financial management of the Pulse CRSP; Monitor the technical aspects of the projects and organize activities to facilitate achievement of program goals; Administer the RFP process for sub-awards; Organize and supervise the CRSP MO staff to carry out the functions, responsibilities, and support
of the project; Assure compliance with USAID and MSU regulations and guidelines; Represent the Pulse CRSP in CRSP Council and stakeholder meetings; Provide intellectual leadership for one of the USAID focal areas; Serve as a primary contact for the USAID AOTR, PIs, advisory groups and the pulse industry; Coordinate and participate in advisory group meetings; Respond to requests from USAID/W, Missions, and Regional offices; Actively seek opportunities for and negotiate leveraged Associate awards; Coordinate implementation of research programs with U.S. and HC institutions and IARCs; Facilitate the establishment of sub-awards with U.S. and HC institutions; Maintain regular communication and interaction with the administrative offices of the ME—CANR Institute of International Agriculture (IIA), Office of the Dean of International Studies and Programs, Office of Contracts and Grant Administration, etc.; Generate professional reports and documents for management advisory groups and USAID/W; and Produce scholarly outputs related to the contributions of pulse research and training to development.

Program Associate Director: Serve operationally as the secondary administrative officer in line with USAID guidelines and MSU regulations and procedures. Responsibilities include: Backstopping the Director; Participate in all MO staff functions; Assist in organization of staff responsibilities and carry out tasks identified; Oversee the MO in the Director's absence; Assist in the administration of competition for sub-awards; Perform administrative support functions for the CRSP training and capacity building efforts; Assist the Director in M&E of projects, especially socio-economic research, and in organizing activities to facilitate overall technical achievement; Maintain a trainee database; Synthesize information and prepare Annual Research/Training Reports; Accompany the Director as needed to governance committee and CRSP Council meetings; and Prepare materials for newsletters and briefs highlighting major results and achievements.

Administrative Officer: Plan and supervise the fiscal management of the Leader award: Maintain computerized financial records of all projects; Monitor total project costs against obligations; Monitor cost share and U.S. and HC expenses; Prepare financial reports (including pipeline, accruals); Prepare financial reports and present them to advisory groups; Act as a liaison between the MO and the USAID’s OAA; Monitor compliance with USAID grant requirements; Maintain frequent communication with the USAID’s OAA on fiscal matters; Develop and maintain the Operations and Policy Manual; Provide budgetary and compliance support to program sub-awards; Organize and conduct workshops for financial officers as appropriate; Develop and process sub-agreements and periodic amendments for sub-awards; Conduct site visits to resolve fiscal problems and conduct informal internal audits of projects; Arrange travel and conference/meeting accommodations for MO organized events; Process MSU travel notifications and requests for reimbursement for domestic and international travel related to MO functions; and Perform fiscal management responsibilities for Associate awards.

Communications Specialist: Develop communication instruments for the Pulse CRSP MO. Tasks include: gather information and draft communications; design, prepare brochures and annual Highlights publications, assist in writing and editing of grant proposals, annual workplans and technical progress reports, posters, Power Point presentations, media briefs, newsletters, etc.; Develop and post program information on the Pulse CRSP’s website so to maintain current and enhance its utility to PIs and stakeholders. Assist with the design, maintenance, and use of program data bases (e.g., CRSP training, publications, and directory). Work directly with the Director and Deputy Director to communicate with international audiences relative to the technical activities, achievements and developmental impact of the Pulse CRSP program.
USAID Agreement Officer’s Technical Representative (AOTR)
The AOTR is responsible for maintaining frequent liaison and direct communications with the
Management Office (recipient). The nature of the relationship is that of supporting their public
purpose and not for obtaining the recipient's technical assistance or services for USAID.

The responsibilities of the AOTR for the Dry Grain Pulses CRSP include:

1. Monitoring. To monitor the recipient's technical progress in achieving the objectives of the
Program and verify that the recipient's activities being funded by USAID under the
referenced award conform to the terms and conditions of that award.

2. Cooperative Agreement Revisions. To make written recommendations to the AO when any
changes to the Program Description, technical provisions, and/or any other terms or
conditions of the award are necessary, along with a justification for the proposed action.

3. Substantial Involvement. To assume those responsibilities regarding substantial involvement
as specifically delegated to the AOTR in the schedule of the Cooperative Agreement in the
section entitled "Substantial Involvement". This includes participation and membership with
vote (but not veto power) on the Technical Management Advisory Committee of the Pulse
CRSP and other financial oversight responsibilities described below:

4. Financial Management. Although the responsibility for making payments and accounting for
funds and balances rests in the Office of Financial Management (M/FM), the AOTR must
administer financial management responsibilities by:

- Ensuring that all funding actions comply with USAID's forward funding guidelines
  (ADS 602, Forward Funding of Program Funds).
- Reviewing the recipient’s request for payments or financial reports and providing or
denying administrative approval if required by the procedures in ADS Chapter 630,
Payables Management.
- Monitoring the financial status of the award on a regular basis to ensure that the level
  of funding is the minimum necessary.
- Developing accrued expenditures on a quarterly basis in accordance with ADS 631,
  Accrued Expenditures, and instructions from M/FM or the mission controller. Note
  that this must not be interpreted as Authority for requesting any additional financial
  reports from the recipient.
- Reviewing financial status reports for U.S. organizations with letters of credit to
  monitor financial progress, contacting the recipient for further explanation if questions
  arise regarding the appropriateness of expenditures, and contacting the agreement
  officer if not satisfied with the recipient's explanation.
- Initiating a request to the Agreement Officer (AO) to deobligate funds if at any point it
  is apparent that the amount of available funds is more than will be necessary to
  complete the cooperative agreement activities (see ADS 621 Obligations and Internal
  Mandatory Reference "Deobligation Guidebook").
- Monitoring recipient compliance with the requirement for them to obtain any host
country tax exemptions for which they are eligible; and
- Upon completion of the work under the award, reviewing any unliquidated obligation
  balance in the award and working with the agreement officer to deobligate excess
funds before beginning close-out actions (see ADS 621: Obligations and Internal Mandatory Reference "Deobligation Guidebook").

B. PROGRAM ADVISORY GROUPS

While the MO has delegated authority to make final decisions relative to the selection of projects, contractual and financial management, program implementation and performance assessment, the MO carefully considers the advice and guidance of the Pulse CRSP’s advisory groups, the TMAC and EAP.

External Advisory Panel
An EAP may be convened ad-hoc for review of proposals and consultation on the selection of projects to constitute a quality and coherent portfolio of sub-awards for the Pulse CRSP. The EAP will not be a permanent advisory group for the five-year duration of the grant, but will be convened when sub-awards are competed. The composition of the EAP will consist of 3-5 individuals as justified. The EAP will be formed with input and concurrence from the AOTR based on the following criteria: a) no conflicts of interest with institutions identified in proposals for sub-awards; b) expertise in technical areas relevant to program Thematic Areas, c) knowledge of international agriculture development issues and d) experience in agriculture research administration.

Technical Management Advisory Committee (TMAC)
The Technical Management Advisory Committee is an advisory body that performs both strategic planning and monitoring functions. The MO consults with the TMAC on emerging issues and technologies, strategies for building sustainable institutional capacity and achieving development impacts, and on program management approaches.

The TMAC assists in the monitoring and evaluation of the CRSP program, including:

1. the monitoring the scientific quality and productivity of projects and recommending technical adjustments,
2. reviewing annual project workplans and budgets,
3. assessment of annual project technical progress, achievement of annual performance indicators and benchmarks,
4. advising on strategies for achievement of developmental outcomes, and
5. identifying potential research priorities and foci for future sub-awards.

The TMAC plays an especially important role at critical times during the program when subcontracted projects need to evaluated for performance and continued relevance and decisions made regarding possible extensions. The MO will solicit recommendations from the TMAC regarding subcontracted projects at such critical times (e.g., transitions between Phases, five-year extension of Pulse CRSP program).

The TMAC will be comprised of eight members; one external scientists of international stature, one industry representative, two representatives from the CGIAR (e.g., CIAT, IITA, etc.), three CRSP PIs including at least one from a HC, and the AOTR (who will have a vote). The TMAC will be formed after the sub-awards are selected and partner institutions identified. The four non-CRSP external members will be appointed by the MO in consultation with the AOTR for the five-year duration of the Leader award based on their qualifications and experience. The three internal members (CRSP PIs) will be elected by the PIs for staggered two-year terms of service. The TMAC will hold annual face-to-face meetings over the five-year period, but is expected to conduct most of its business through conference calls and electronic communication.
Institutional Representatives (IRs)
The U.S. and HC universities/institutions participating in this CRSP will each designate an IR to represent them in the conduct of the CRSP. The IRs are selected by the administration of each Lead university in a CRSP based on their administrative responsibilities, typically Deans or Directors, and their relevant expertise. Each IR is the administrative resource for the team on his/her campus and the institution=s focal point for the MO on policy and personnel matters. IRs are valuable to the successful governance of the CRSP.

Administrative Advisory Committee
The Administrative Advisory Committee (AAC) is envisioned as a virtual committee comprised of Institutional Representatives (IRs) primarily from U.S. universities with responsibility to approve an Operations and Policy Manual for the Pulse CRSP, to provide advice in addressing program implementation issues, and to provide administrative support for CRSP PIs at their respective institutions. The MO will interact with the AAC via email or conference calls. The MO may engage IRs directly regarding personnel issues including the replacement of a PI, poor project performance, etc.
III. PROGRAM IMPLEMENTATION

A. THREE-PHASE TECHNICAL PROGRAM

The Dry Grain Pulses CRSP will implement a three-phase technical program with three award cycles (30, 33 and 24 months) for the initial five-year authorization (2007-12). The MO will issue a Request for Proposals (RFP) prior to the start of each cycle to competitively select high quality multi-institutional projects that focus on two or more priority themes/topical areas that are aligned with the goals and objectives of USAID’s Feed the Future (FTF) Global Food Security Research Strategy. The initial phase (Phase I) of contracts for research, outreach and institutional capacity building projects will be for the two-and-a-half year period from April 1, 2008 through September 30, 2010. Phase I projects may be considered for a two-year extension contingent upon a formal request by the Lead U.S. university, and acceptable technical performance as evidenced by achievement of benchmark indicators/target outputs and outcomes. The MO will Issue a RFP for Phase III projects (January 1, 2010 – September 28, 2012) to address technical gaps in the global program of the Pulse CRSP plus to respond to emerging research priorities for pulses (edible grain legumes) of USAID under FTF.

The justification for a three phase program is to provide opportunity for midstream assessment of subcontracted project performance (after two or three years) and thus to make technical and budgetary adjustments of projects to ensure achievement of research, technology dissemination and capacity building objectives. This is important for the Management Entity as it is contractually responsible for achievement of the Global Technical Goals of the Pulse CRSP program during the course of a five or 10 year award period.

For two-year extension of Phase I projects into the Phase II period (October 1, 2010 – through September 28, 2012), PIs will be requested to submit “Requests for Extension” and proposed research objectives and approaches for the final two years. These documents along with annual Technical Progress Reports will be reviewed by the TMAC. The MO will seek a recommendation from the TMAC regarding future funding of these projects. In consultation with the USAID AOTR, a decision will be made on which Phase I projects will be extended for a two-year period (as Phase II projects). PIs of Phase II projects will be required to submit acceptable FY11 and FY12 workplans and budgets which respond to the recommendations and requests of the TMAC and the MO. These workplans must meet the approval of the TMAC before contracts with subcontracted Lead U.S. universities are amended and extended.

As FTF holds the CRSPs accountable for developmental outcomes resulting from the products of research (e.g., technologies, management practices, knowledge), there is an expectation that the Pulse CRSP will contribute to measurable impacts on stakeholders of pulse value-chains in target countries. To this end, the Management Office will support a Phase III project on impact assessment. Specific functions of this project include: (1) ex-ante impact assessment to advise the MO in setting research priorities and making research and capacity building investments with high potential for return; (2) assisting subcontracted research projects to define impact pathways; and (3) ex-post assessment of impacts of technologies resulting both from the Bean/Cowpea and the Dry Grain Pulses CRSPs.

The MO will issue RFPs for any newly defined priority topical areas for research, outreach and institutional capacity that might result from increases in program authorization, emerging research priorities and opportunities, or from technical gaps due to discontinuation of individual subcontracted projects due to non-performance issues. The number and amount of the awards will depend upon the availability of funds and projected future obligations from USAID to the Pulse CRSP. All proposals received by the Management Office will be sent out for “peer review” by expert scientists without conflicts of interest. In addition, an External Advisory Panel or the TMAC may be consulted if considered necessary. The recommendations on funding of proposals will be considered by the MO and the AOTR when decisions of funding of new projects through the Pulse CRSP are made.
B. CONTRACTUAL FRAMEWORK FOR PROGRAM

A contract from USAID/W to Michigan State University, Grant No. EDH-A-00-07-00005-00, effective September 30, 2007 through September 29, 2012, funds the Dry Grain Pulses CRSP at $9,000,000. The authorization ceiling for the Dry Grain Pulses CRSP award to MSU was increased by USAID in July 2009 to $14,014,000 which necessitated the submission of modified Technical and Cost Applications. The award contract must adhere to the Standard Provisions for U.S. Non-governmental Recipients and other documents as guiding authorities for the Dry Grain Pulses’ implementation and operation.

For each award, Project Technical and Cost Applications, Cost-Reimbursable Subagreements with Lead U.S. universities, Project Workplans and Budgets, Letters of Willingness to Partner by Host Country Institutions, and Fixed-Price Contracts with Host Country institutions are the instruments for defining relationships among participant universities/institutions.

U.S. Lead University
Participating U.S. Lead Universities are selected on the basis of an open competition. In response to an RFP issued by the MO, candidate universities submit proposals for projects to the Management Office. Following external review by multiple peer scientists without conflicts of interest utilizing clear objective evaluative criteria, the Management Office will receive and consider the strengths and weaknesses of each project and the potential to achieve specific programmatic objectives. In certain cases, it may be necessary for the MO to invite the resubmission of a revised proposal from a candidate university. A resubmission of a revised proposal would afford an opportunity to respond to reviewer and/or MO requests for changes in technical approach, host countries and/or in collaborating HC institutions. In consultations between the Management Office and the USAID AOTR for the Pulse CRSP, projects will be selected for subcontracting.

A U.S. “Lead” university will be responsible for sub-subcontracting one or more activities with both U.S. institutions/organizations (e.g., universities, private research labs, etc.) and host country institutions (e.g., National Agriculture Research Systems, IARCs, NGOs, etc.) for an individual Pulse CRSP project. A cost-reimbursable contract defines the sub-contractual relationship between a U.S. “Lead” university with the Management Entity (ME), Michigan State University (MSU). A Fixed-price sub-subcontract is the most common sub-contractual mechanism used between a Lead U.S. University and a collaborating Host Country institution in a Pulse CRSP project.

Host Country Institution
Participating Host Country (HC) Institutions are identified on the basis of their expertise, their willingness to engage in collaborative research, training and outreach activities as outlined in the Technical Application, their institutional need for enhanced capacity in strategic areas of agricultural science, and their potential role in enabling the Pulse CRSP to achieve Feed the Future objectives. A Host Country Institution may be a National Agriculture Research System (NARS), a research intensive agriculture university, a Non-Governmental Organization (NGO), an International Agriculture Research Center (IARC) or a private industry which can contribute to the research, technology dissemination or training activities in a host country. A HC Institution may receive one or more sub-subcontracts from U.S. Lead universities to participate in Pulse CRSP projects, and be responsible for implementing one or more activities within each sub-subcontracted project. Fixed Price Contracts are the recommended sub-contracting mechanism between a U.S. Lead University (or the ME, in lieu of the Lead University) and Host Country Institution.

Letter of HC Institution Willingness to Partner
A “Letter of Willingness to Partner” in the Dry Grain Pulses CRSP must be submitted by all Host Country institutions which will be actively participating in awarded projects and receiving financial support. This letter will be in lieu of the establishment of Memorandum of Understanding between the Host Country institutions and the Management Entity for the Dry Grain Pulses CRSP, Michigan State University. These letters should indicate an institutional commitment to partner with a
specified “Lead” U.S. university, to receive Pulse CRSP support, and to commit research staff and faculty to engage in collaborative research, training and outreach activities specified in the Technical Application and subsequent workplans. The “Letters of Willingness to Partner” will be attached as appendices to the award subcontract to the appropriate Lead University.

C. CONTRACTUAL MECHANISMS FOR SUBAWARDS

Subagreements between ME and Lead U.S. Institutions
MSU will establish Cost Reimbursement Subcontracts with Lead U.S. Universities for individual projects to be funded under the Dry Grain Pulses CRSP (Appendix A). Subagreements will obligate funds and pass certain authority and responsibility from the ME to the U.S. Lead Institutions. Subagreement appendices include such documents as the applicable USAID Standard Provisions, Project Technical Application, Workplans and Budgets, Host Country Letters of Willingness to Partner, Guidance on USAID-Funded Communications Products, Expense Reporting Forms, Travel Notification Forms, Request Forms for Equipment Purchases, and Forms for reporting indicators of progress to be completed and submitted at designated reporting time periods. Appendices are binding in-as-much as they are appended to and made part of the subagreement signed by the appropriate contract officials at the U.S. Lead Institution and Michigan State University.

Fixed Price Contracts between U.S. Lead and Host Country Institutions
A Fixed Price Contract will define the relationship between a Host Country institution and either the collaborating Lead U.S. University or the ME, MSU, in the Dry Grain Pulses CRSP. If a U.S. Lead University cannot administer “fixed price” contracts with a HC institution, then the ME may take up the financial management responsibilities for sub-awards with Host Country institutions through a fixed-price agreement with that HC institution while retaining technical oversight and reporting responsibilities with the respective Lead U.S. university.

Fixed Price Contracts must specify certain minimum guidelines established by the MO plus include the following schedule of payments of obligated funds upon receipt of the specified deliverables.

<table>
<thead>
<tr>
<th>Deliverable</th>
<th>Payment</th>
<th>Tentative time frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved Annual Workplan</td>
<td>At least 50% of total contractual amount for fiscal year</td>
<td>Once the contract has been established</td>
</tr>
<tr>
<td>First report on indicators of progress</td>
<td>At least 25% of total contractual amount for fiscal year</td>
<td>A mid-point to be determined by the Lead</td>
</tr>
<tr>
<td>Second report on indicators of progress</td>
<td>Remainder of the total contractual amount for fiscal year</td>
<td>A mid-point to be determined by the Lead</td>
</tr>
</tbody>
</table>

An example of the schedule of payments to be included in the fixed price contract between the ME and a host country institution is given is Appendix B

As collaborating HC Institutions are bound by the majority of the terms of USAID’s contract with the ME for the Dry Grain Pulses CRSP and sub-agreements to the U.S. Lead University (Institution), copies of applicable contractual documents (including appendices) should be provided to HC administrators, along with the Fixed Price Contract(s), for reference purposes.

Copies of all “Fixed price” contracts between a Lead U.S. University and a HC institution must be submitted to the MO within 30 days of the signing of such a sub-contract.
D. PERFORMANCE MONITORING AND ASSESSMENT

The TMAC will be the principal advisory group responsible for regular monitoring and assessment of technical progress and for advising the MO on technical and budgetary matters. The Program Director and Deputy Director are committed to maintaining active interactions with U.S. and HC PIs. Through visits to participant HC and U.S. institutions, they will gain insights into the conduct of projects, and be able to address performance issues.

Key instruments/mechanisms that the MO will use to monitor and assess program performance include: 1) Project Technical Applications; 2) Annual Workplans; 3) Semi-annual Benchmark Indicators of Progress; 4) Annual Technical Progress Reports; 5) Target Performance Indicators established for each project to contribute to Feed the Future agriculture development objectives; and 6) Project site visits. The first six of these key instruments are described in Table 1 and elaborated below.

The MO will collect and compile the necessary program reporting documents from these instruments (and a Final Technical Report) for all sub-contracted projects and submit them to USAID as required in the contract with the ME. The Dry Grain Pulses CRSP MO utilizes its web page to provide public access to subcontracted project Workplans and Technical Progress Reports.

Project Technical Applications
Project Technical Applications establish the justification, objectives, collaborating partners, technical approach, training plan, expected outputs, impact pathway, and target outcomes, etc. for the research, technology dissemination and capacity building projects awarded. An approved Technical Application is developed for each multi-year project under the Pulse CRSP. The Technical Application becomes an integral part of the sub-contract awarded by the ME to a “Lead” university. The Technical Applications are in many ways similar to that of proposals submitted in response to RFPs, except that they reflect negotiated changes in response to peer reviews and adherence to technical expectations of the MO and USAID to achieve global goals of the Pulse CRSP.

Annual Workplans
U.S. and HC partner institutions to be involved in the Pulse CRSP will be sub-contracted to implement projects. Principal Investigators (PIs) and collaborators at these institutions will be responsible to plan, execute, supervise and report on all activities for their sub-awarded projects. PIs will be accountable for the successful completion of research, training and outreach activities and contributions to the achievement of global program objectives as outlined in the project Workplans.

Annual Workplans and Budgets must be prepared and submitted to the MO approximately four months in advance of each fiscal year and/or the start of each project’s obligation period. Workplans not only serve as a project implementation plan for an obligation period, but also provide direction (a road map) of what needs to occur in order for the project to achieve its technical and training objectives (to be reflected in the semi-annual Benchmark Indicators of Technical Progress), target outputs (e.g., technologies, policy strategies, management practices, and knowledge) and a plan for achievement of developmental outcomes (e.g., the external use, adoption, or influence of the project outputs by partners, stakeholders and clients) and impacts (i.e., the longer range social, environmental and economic benefits that are consistent with USAID goals and the Pulse CRSP’s mission and objectives). The Workplans also outline the division of responsibilities among U.S. and HC collaborators and a mechanism to ensure accountability for partners in the implementation of projects.

Specifically, project annual workplans define the objectives, specific approaches and methodologies to be followed in implementing research, outreach and institutional capacity building activities, a timeline of activities during a fiscal year, target outputs, outcomes and impacts of project, plan for engagement of USAID field missions, networking activities with stakeholders and plans of project
teams to leverage additional funds from other sources. Workplan Formats to be followed by project teams can be found in Appendix C. The Annual Workplan will also include the Budget (Appendix H), the Semi-annual indicators of progress (Appendix D) and the “Target” Performance Indicators for FTF (Appendix E).

**Semi-Annual Benchmark Indicators of Progress**
All activities to be supported by the Pulse CRSP will include, as part of their Annual Workplan, a list of “Semi-Annual Benchmark Indicators of Progress” towards achieving annual project objectives according to the format specified in Appendix B. These are viewed as benchmarks to be achieved at the identified mid-points during the annual implementation of project workplans (typically October 1 and April 1). The technical Benchmark Indicators are defined by the project team for each institution receiving funds under the CRSP grant in order to assess technical progress and hold PIs accountable for performance in Fixed Price contracts.

The “Lead” U.S. institution will be responsible for obtaining a “Report on Semi-Annual Indicators of Progress” from each sub-contracted institution every six months which must be submitted to the MO typically by October 1 and April 1 (see the template in Appendix D). This Report will be used to monitor progress towards achievement of each objective as defined by the project team.

Since fixed price contracts are performance based, the “Reports on Semi-Annual Indicators of Progress” will be used as one of the “deliverables” for making payments to host-country institutions. Failure to submit a semi-annual indicators report and provide evidence of satisfactory progress (with acceptable justification for lack of completion of specified activities) towards the achievement of established technical benchmarks will be viewed as an indicator of contract “non-performance”. The result of “non-performance” by a sub-contracted institution will likely be delays in scheduled payments to that institution or a termination of the contract.

**Annual Technical Progress Reports**
At the end of each fiscal year, projects will be required to report on the progress and achievement of project objectives and output targets established in the workplans. Success in achieving output targets and documentation of outcomes will be used as indicators for monitoring project progress in the research-to-impact pathway. The annual technical progress reports will also be used to assess the likelihood of research generated outputs (knowledge, technologies and recommendations) being adopted by end-users, and leading to developmental impact. A goal of the Pulse CRSP is to extend project outputs broadly within and across regions so as to maximize benefits to the widest possible audience.

Annual technical progress reports will provide a basis for assessment of scientific quality, technical progress toward objectives, effectiveness in the use of funds, collaboration with both CRSP and other programs, leveraging of additional resources, and effectiveness in the dissemination of outputs to end-users to achieve intended outcomes. Of particular importance will be evaluative feedback back to PIs from the MO regarding project performance during the past year and recommendations regarding future activities to improve technical progress toward output objectives. This information will enable PIs to better understand program expectations and provide opportunity for interventions and mid-course adjustments to ensure success in achievement of program goals.

Formats to be followed by project teams to prepare the Annual Technical Progress Reports for research, degree training and short-term training activities can be found in Appendix G.

**Feed the Future Performance Indicators**
The performance of all subcontracted projects supported by the Pulse CRSP are tracked using “Performance Indicators” established by USAID under Feed the Future (FTF) (see Appendix E). The tracking process involves setting annual quantitative “Target” Performance Indicators for each project against selected FTF indicators (determined by USAID to be appropriate for the Pulse CRSP). The “Targets” are estimated prior to the start of each fiscal year, typically when the
workplan is being prepared. During the course of an annual project implementation period, PIs are expected to monitor and document activities and technical outputs and outcomes so as to be able to report on "Actual" Performance Indicators achieved by the Pulse CRSP project during a performance period. This is therefore an annual exercise. Subcontracted Lead U.S. institutions will be held accountable for the collection of quantitative data that complies with USAID definitions for the performance indicators, and for the submission of quantitative data that is reliable and can be defended.

As part of the Annual Technical Progress Reporting for a project, the Lead U.S. PI will collect the “Actual” numbers against the previously established “Target” Performance Indicators and submit an FTF Performance Indicator Report to the Management Office. These data will be compiled by the MO into a single quantitative Fiscal Year FTF Performance Indicator Report for the Dry Grain Pulses CRSP and submitted to USAID (typically in early November) as required by USAID’s contract with the ME. If Actual numbers deviate more than 10% from the Targets (both under and over), project PIs may be required by the MO and USAID to submit a justification.

In cases where an activity has generated a significant research, dissemination or capacity building achievement (output or outcome) during a particular fiscal year that cannot be captured using the predetermined performance indicators, PIs are encouraged provide brief narratives describing that achievement(s). These Pulse CRSP achievements will also be provided to USAID as evidence of program performance during a particular fiscal year.
**Table 1: Key Performance Monitoring And Assessment Instruments to be Used by the Pulse CRSP (Identified in blue font)**

<table>
<thead>
<tr>
<th>Workplan</th>
<th>Report on Semi-Annual Indicators of Progress</th>
<th>Annual Technical Progress Report</th>
</tr>
</thead>
</table>
| **Main Purpose:** | • To report on the achievement of "indicators of progress" identified in the project workplan  
• To use as one of the project deliverables for "Fixed Price" contracts | • To monitor progress towards project outputs.  
• To assess the likelihood of generated knowledge and technologies being adopted and achieving developmental impact. |
| **Time frame** | To be compiled and submitted by the Lead U.S. institution every six months on October 1 and April 1.  
Workplan 1: Apr 1, 2008 – Sept 30, 2009  
Workplan 2: Oct 1, 2009 – Sept 30, 2010  
Workplan 4: Oct 1, 2011 – Sept 30, 2012 | To be submitted by the Lead U.S. institution at the end of each fiscal year (November 1). |
| **Instrument/Format for Submission** | • See Appendix F | • See Appendix G |

**Types of information to be collected from each project:**

| Research objectives and associated activities | Research objectives and approaches/methods to achieve the stated objectives | Not applicable | Research objectives and activities  
Approach | Approach/method to achieve output targets | Not applicable | Approach used to achieve outputs.  
**Semi-annual Indicators of Progress** | Targets for progress to be achieved at mid-points during the workplan year by each institution (See Appendix D) | Completing the “Report on the Achievement of Semi-Annual Indicators of Progress” by institution for a specific time frame (See Appendix F) | Not applicable |
| Output Targets | Annual benchmarks, defined by quantity and type, expected in a specific year and important for achievement of the Pulse CRSP’s global objectives. | Not applicable | Achievement of annual output targets; An explanation for failure to attain output targets; If the output targets significantly changed, a justification for the new outputs and implications on intended outcomes.  
Expected Outcomes | Identification and description of a strategy to achieve outcomes (i.e., adoption/uptake, external use, or influence of the project output(s) by partners, stakeholders, clients). | Not applicable | Achievement of significant outcomes resulting from project outputs in a given year; Who used/adopted or was influenced by the output? Description of studies that give evidence of achievement of outcomes.  
Expected Development Impacts | Identification and description of strategy to achieve long-range impacts (i.e., social, environmental and economic benefits that are consistent with USAID goals and the Pulse CRSP’s global vision and objectives) | Not applicable | Progress towards achievement of impacts resulting from project outcomes in a given year; Efforts made to extend project outputs broadly within and across regions so as to maximize benefits to the widest possible audience (i.e., industry groups, public institutions, development organizations, etc.); Studies conducted to document the evidence of impacts.  
**Performance Indicators for Feed the Future** | Completing the “Target” column of the form given in Appendix E. | Not applicable | Completing the “Actual” column of the form given in Appendix E.  
**Budget** | A detailed budget by institution and major costs | Not applicable | Not applicable |
Phase I Project Assessment for Possible Extension

Phase I projects may be considered by the MO for a two-year extension in response to receipt of a formal request by the Lead U.S. university. Approval of extension requests will be contingent upon acceptable technical performance as evidenced by achievement of benchmarks/target outputs and outcomes, the identification of future well justified objectives along with appropriate approaches and methods, and the availability of obligated funds from USAID.

TMAC’s assessment of acceptable technical performance by projects under consideration for extension will be based upon review of project documentation including Semi-Annual Indicators of Progress (up through April 1, 2010) and the Annual Technical Progress Reports (for the periods 4/1/08 – 9/30/08, 10/1/08 – 9/30/09). In certain situations, a site visit by a representative of the TMAC, the MO, and/or a contracted external reviewer may also be conducted to to a U.S. or HC institution to gain additional insights into project performance effectiveness of collaborative relationships, and potential for project to achieve objectives.

E. PROCEDURES FOR CHANGE

Approval from the Management Office is required whenever there is a substantive change in a project as outlined in the Technical Application and the associated annual Workplans for a specific obligation periods. Substantive changes include:

- Modification, addition or elimination of project objectives.
- Significant changes in the approaches and methods to be utilized in the achievement of a project objective.
- Elimination, addition or substitution of U.S. or HC collaborating institutions and Principal Investigators
- Redistribution of funding between partner HC institutions or between U.S. and HC institutions.

The process for obtaining approval/authorization for a change is as follows:

1. The Lead U.S. PI of a project should submit a written request to the MO with the following information.
   - Description of the proposed change
   - Justification for the proposed change
   - Implications of the proposed change as it relates to achievement of project goals and budgets

2. When requested changes have potential to limit achievement of project goals and productivity, the MO will consult with the USAID AOTR and may seek advice from the Technical Management Advisory Committee.

3. The MO will notify the PI in writing whether or not the proposed change is approved. Revised Workplans and Budgets which reflect the approved changes may be requested by the MO before any additional funds are obligated.

Change of Principle Investigators

When a U.S. or HC Principal Investigator (PI) terminates his/her role within a subcontracted CRSP Project, the MO must be notified immediately by the Lead U.S. University. If necessary, the MO will work with the Lead University and the appropriate Institutional Representative to identify an acceptable acting U.S. or HC PI to continue the project on an interim basis.

If a PI decides to accept a position with another university, the Pulse CRSP project will not follow the
individual but will remain with the subcontracted U.S. or HC institution.

Within a maximum of three months from the initial termination, the Lead University in a project must submit in writing to the MO 1) a recommendation for appointment of a new PI, and 2) a plan to enable completion of the subcontracted project as outlined within the Technical Application and corresponding workplans.

The MO will consult with the USAID AOTR and possibly with the TMAC in making a decision regarding the acceptability of the recommended PI and whether the project should continue.

**Change in Budgets**

Since Budgets are integrally linked to workplans during an obligation period and budgetary changes require formal amendments to subcontracts, the MO highly discourages the submission of requests for budgetary changes that involve shifts in funds among participating institutions in a project.

Requests for changes will only be considered in extreme situations such as 1) non-performance by a partner institution, 2) the discontinuation of a collaborative activity by an institution due to the departure of a critical PI, and/or 3) failure of a trainee to gain admission to a graduate degree program at a particular institution.

Requests for budgetary changes must be submitted by the Lead University to the MO with a written request and justification for the change along with a revised budget (with appropriate institutional signatures) for the particular obligation period.

Changes in expenditures among lines within the budget for an individual subcontracted institution does not typically require formal MO approval. The exceptions to this policy and require MO approval include the following:

- shifts in funding from training to research or outreach activities
- shifts in funding from "U.S. for HC" to "U.S."
IV. FINANCIAL MANAGEMENT

A. ANNUAL BUDGETS

Content and Format of Annual Budgets
The annual budgets should contain the following two components: 1) Budget spreadsheet and a 2) Budget Narrative.

1. Budget Spreadsheet
A detailed budget must be submitted using the template spreadsheet provided (Appendix H). Budget spreadsheets in Excel format are available for downloading from the Pulses CRSP website at www.pulsecrsp.msu.edu/. Depending on period of funding, The Budget template consists of a Summary tab and one tab for each period of funding.

2. Budget Narrative
The budget narrative should include an explanation and justification for each line item (a to j) appearing in the Budget plus a description of the following budget components.

- Split between U.S. and HC institutions in total direct costs.
- Breakdown in cost share contributions (in-kind & cash) by the U.S. and Host Country institutions.
- Total budgetary attribution to institutional capacity building.

Instructions for Completing Budget Spreadsheet Templates
Budget information should be entered into the appropriate "open" cells (NOT in the shaded cells) of the budget spreadsheet. The lighter shaded cells will show calculated amounts based upon the input provided. Begin by entering the following information in Tab 1 (first period).

Project Title: Type the title of the project in the space provided in Tab 1 only. The title will then automatically appear in the other tabs including the Summary.

Institution Name: Type in the names of the U.S. (the "Lead" university) and collaborating Host Country institutions in appropriate columns on Tab 1 only. The entered institutional names will then automatically appear in the columns of other Tabs and Summary. Use abbreviated institutional names as space is limited.

The "U.S. for Host Country" column is for the costs to be incurred by the Lead U.S. university on behalf of (in direct benefit to) the Host Country institution(s). Indirect cost charges are allowable for such expenses. A typical example would be the cost of degree training of a host country staff at a U.S. university.

For budget lines “a through i,” enter the amounts under the respective columns for the each funding periods according to the following guidelines.

a. Personnel Cost
Include salary and fringe benefits for PIs and research associates to be paid through the Pulse CRSP project. Partial support of U.S. PI salary is allowable but should not exceed 0.16 FTE (equivalent to two months of salary). Project funds cannot be used to support clerical and administrative staff.

b. Travel
Include estimated travel expenses related to the conduct of research and training activities for both U.S. and Host Country personnel. Note that all air-travel must be in accordance with the “Fly America Act.”

c. Equipment
Include budget for equipment required for the conduct of research activities and/or contributing to the capacity of the Host Country institution. Equipment is defined as individual items that cost $5000 or more. Please use the USAID “Eligibility Rules for Goods and Services (April 1998)” as the guideline for budgeting this line item.

d. Supplies
Include budget for items such as office supplies, chemicals and laboratory supplies required for the conduct of research and training activities. Supplies are defined as those of items costing less than $5000 per unit and used in the conduct of day-to-day research, training, and outreach activities. Supplies also include communication costs such as computers, telephones, Internet service, etc.

e. Training
Annual budget should include itemized support for degree and non-degree (short-term) training at U.S. universities, Host country universities and/or “advanced” institutions of higher learning around the world. All trainees that come to the U.S. must be in compliance with USAID guidelines for Participant Training (ADS 253).

f. Other
Appropriate budgetary items for this line include professional services contracts, consultants, etc. Please provide justification for budgeted amounts under this category in the Budget Narrative.

h. Indirect Cost
Enter the indirect cost amount for each institution in the respective column. In the Budget Narrative, indicate the negotiated indirect cost rates for U.S. (NICRA) and Host Country institutions, and how the total indirect costs were calculated. Note that budgeted amounts for Equipment (items costing >$5,000) and “participant training” as defined in ADS 253 are generally exempt from institutional indirect costs. PIs should consult with their institution’s offices of Contract and Grant Administration or of Sponsored Programs for guidance on the budgeting of indirect costs.

i. Indirect cost on sub-subcontracts
Enter the amount for institutional indirect cost to be charged by the Lead U.S. institution on individual sub-subcontracts with Host Country or collaborating U.S. institutions under this project. This usually includes indirect costs on the first $25,000 of any sub-subcontracted project. In the budget narrative, provide an explanation of how these indirect costs were calculated and give the U.S. institution’s established NICRA (Negotiated Indirect Cost Rate Agreement). Consult with your institution’s offices of Contract and Grant Administration or of Sponsored Projects for guidance on the budgeting of indirect costs on sub-subcontracts. Please be aware of the Pulse CRSP policy that all sub-contracts with Host Country institutions for the implementation of research, training and outreach activities must be “Fixed-Price Contracts.”

If a Lead U.S. university on a Pulse CRSP project is unable to issue Fixed-Price Contracts under the terms specified by the Management Entity, then the Lead Institution should relinquish its responsibility for the administration of subcontracts to Host Country Institutions to Michigan State University. A statement must be included in the Budget Narrative requesting this transfer of contractual responsibility.

In such cases where the Management Entity will administer subcontracts with HC institutions, the 26% NICRA (2007) of Michigan State University for pass-through funds to foreign institutions should be charged and entered on the “Indirect Cost on Subcontracts” row for the respective Host Country Institution(s). This amount will then be deducted and retained by the ME to cover subcontract administrative costs. Decisions on whether to
establish contractual relationships with Host Country institutions collaborating in Pulse CRSP projects should be made by the Lead University’s administration and thus should be consulted on this matter.

Instructions for Providing Other Budgetary Information

Total direct cost budgeted for U.S. institution(s)
Add the “direct costs” budgeted under U.S. institution(s) (a – e) and enter the total amount in Column “f.”

Total direct cost budgeted for HC institution(s)
Add the “direct costs” budgeted under each HC institution(s) and under “U.S. for Host Country” (a – e) and enter the total amount in Column “f.”

Note: The percentage split between U.S. and HC in total direct costs will be automatically calculated. A minimum of 50% of the direct funds (over the 30-month period) must be expended in or on behalf of the Host Country Institutions participating in this CRSP.

Cost Share
Provide accurate estimates of institutional cost share for each U.S. institution budgeted. The Pulse CRSP requires that each research project provide cash or in-kind contributions (cost share) on funds received according to the following guidelines:

- Lead U.S. universities must provide U.S. non-federal cost share as defined by the USAID reference document for cost-share -- 22CFR 226.23.
- The cost-share requirement for each project is at minimum 25% of the total U.S. costs. U.S. costs include total costs (direct + indirect) budgeted for personnel (staff salaries and fringes, labor cost, consultants), supplies, equipment, travel and non-participant training in the U.S. or at a non-HC institution outside the U.S. (e.g., IARCs).
- Host Country institutions are encouraged to also cost-share on Pulse CRSP project expenses as evidence of institutional commitment and support for the program, however this is not auditable. Please be reminded that Host Country cost share does NOT contribute to meeting the 25% U.S. institutional cost-share requirement.

Attribution to Capacity Building
Provide an estimate of the percentage of project effort, budgeted for each institution that contributes to Host Country “Capacity Building”. Enter a percentage under each column as a number between 0-100.

Name of PI & Institutional Affiliation
After the colon, type in the name of the Lead U.S. PI and his/her institutional affiliation on Tab 1 only. (This information will automatically be copied to other tabs).

Authorized Lead U.S. Institutional Representative
Provide the name and contact information (email and phone number.) of the authorized representative from the Lead University on the Pulse CRSP project that reviewed and approved the annual budget submitted. This individual is typically a designated person within the Office of Contract and Grant Administration or Office of Sponsored Programs at U.S. universities.

Questions regarding annual budgets
Direct all questions in writing regarding the completion of annual budgets to the Administrative/Financial Officer of the Dry Grain Pulses CRSP.
B. FINANCIAL REPORTS

The subcontract with the Lead U.S Institution is a “Cost Reimbursable Contract”. Therefore the Lead U.S Institution must submit an invoice to the MO requesting reimbursement of allowable expenses that it has incurred. Each invoice must indicate the period that the invoice covers. Invoices for reimbursement can be submitted monthly, but must be submitted to the MO no less frequent than on a calendar-quarterly basis and within 30 days following the end of each quarter. The invoice submitted at the end of each calendar-quarter shall be supported by an original and two copies of a certified “Expense Report”. An Expense Report template in Excel format is available for downloading from the Pulses CRSP website at www.pulsecrsp.msu.edu/. It is encouraged that the Lead U.S Institution submits an expense report with each invoice that is submitted to the MO.

The invoice and certified expense reports must be submitted to:

Dry Grain Pulses CRSP
Attn: Administrative/Financial Officer   Agriculture Hall, Michigan State University
446 West Circle Drive, Rm 321
East Lansing, MI 48824-1039

Instructions for Completing the Expense Report Spreadsheet Templates

Information for the expense report should be entered into the appropriate “open” cells (NOT in the shaded cells) of the expense report spreadsheet (Appendix I). The lighter shaded cells will show calculated amounts based upon the input provided. Begin by entering the following information in Tab 1 only.

a. Enter the projects title and assigned MSU account number on the upper left side cell.
b. Enter the approved budget amounts in the column titled “Obligated Budget”. Enter each budget category in its appropriate cell (Salaries, Fringe benefit, Travel, etc…). This is the beginning balance. Enter the host country budget under “f. Contractual (Host Country budget)”.
c. Enter quarterly expenses in appropriate columns. (Reported expenditures U.S, Reported expenditures U.S for Host Country). Cost Share: Enter the required cost share amount for the Life of the project under the column titled “Cost Share Required”. Use the adjacent cells to report the cash and in–kind cost share reported for each quarter. The total reported cost share amount will automatically transfers to the next tab.
d. A Certified expense report requires the U.S Principal Investigator and the Lead Institution’s Authorized contracts and grants officer signature. Expense reports without proper signatures will not be processed.

C. POLICY ON ALLOWABLE CARRY FORWARD

Any subcontracted Lead U.S. university with a balance of 10% or less of the budgeted direct expenditures for “U.S” or U.S for Host Country of the current fiscal year’s budgetary allocation as of the September 30 billing can automatically carry forward the unspent balance with the assumption that the amount of carry forward will be spent to complete activities as outlined in the current workplan. No paperwork needs to be submitted to the MO. The MO considers this an automatic encumbrance.

If the balance of unspent funds exceeds 10% of the budgeted direct expenditures for U.S. or U.S. for Host Country as of August 30, the subcontracted U.S. University should submit a “Request to Carry Forward” to the Management Office by September 15 of that year.

The Request to Carry Forward should include the following information.
1. An itemized list of budgeted items and amounts that were not expended during the recently ended fiscal period and are being requested for carry forward into the next fiscal year.
2. An explanation as to why each item was not expended during recently ended fiscal year.
3. An explanation of how carry-forward funds will be spent during the next fiscal year plus a timeline for their expenditure.

Although subcontractors have line-item flexibility in terms of expenditures and are always encouraged to seek to achieve economies, the Management Office holds subcontractors accountable for research, outreach and institutional capacity building commitments outlined in project workplans. Therefore, if an excess balance of unspent funds exists at the end of a fiscal year, the Management Office requires that subcontractors commit to expending all carry-forward funds for specific designated purposes as identified in project workplans in order for the carry-forward request to be allowed.

In cases where the start of degree training is delayed but had been budgeted for the entire fiscal year, the Management Office encourages the subcontractor to submit a Request for Carry Forward of the unspent training funds to ensure that funds remain associated with the activity and adequate funding is available to complete the degree training during future fiscal periods as originally budgeted in the project.

This Allowable Carry Forward Policy has no relevance to funds obligated for Host Country institutions, since Fixed Price Contracts are used to define the contractual relationship. Under Fixed Price Contracts, Host Country institutions are only held accountable for completion of a scheduled set of defined “deliverables” identified in Pulse CRSP project annual workplans.

Requests for Carry Forward (in excess of 10%) will be reviewed by the Management Office in an expeditious manner. Approval decisions may be for the full carry-forward amount requested or a part.

“Excess” funds (unapproved balance in excess of 10% of direct expenditures for U.S. or U.S. for Host Country) may be de-obligated by the Management Entity from a project through a future modification to the sub-contract with the Lead U.S. university. Excess funds are viewed by the Management Office as either a symptom of poor budgeting or unsatisfactory implementation of a subcontracted project.

All “excess funds” that are de-obligated from projects will be made available on a competitive basis to fund future activities aligned with priority technical areas in the Pulse CRSP’s Technical Vision.
V. TIME LINE FOR PROGRAM IMPLEMENTATION

A. Three Project Cycles – 30 month, 33 month and 24 month projects
   Phase I Subcontracts  April 1, 2008 through September 30, 2010
   Phase II Subcontracts October 1, 2010 through September 29, 2012
   Phase III Subcontracts January 1, 2010 through September 29, 2012

B. Submission of Workplans and Budgets
   Deadline into MO                  Workplan Period
   Phase I                          4/1/08 – 9/30/09
                                  10/1/09 – 9/30/10
   March 4, 2008
   July 15, 2009
   Phase II                         10/1/10 – 9/30/11
                                  10/1/11 – 9/29/12
   August 15, 2010
   July 15, 2011
   Phase III                        10/1/10 – 9/30/11
                                  10/1/11 – 9/29/12
   August 15, 2010
   July 15, 2011

C. Submission of Annual Technical Reports
   Deadline into MO                  Report Period
   Phase I Progress Reports
   November 1, 2008                 4/1/08 - 9/30/08
   November 1, 2009                 10/1/08 - 9/30/09
   November 1, 2010                 10/1/09 - 9/30/10
   November 30, 2010               (For projects not extended)
   Phase I Final Report
   November 30, 2010
   Phase II Progress Reports
   November 1, 2011                 10/1/10 - 9/30/11
   November 1, 2012                 10/1/11 - 9/28/12
   November 30, 2012               For projects ending on 9/28/12
   Phase II Final Report
   November 30, 2012
   Phase III Progress Report
   November 1, 2010                 10/1/10 - 9/30/10
   November 1, 2011                 10/1/10 - 9/30/11
   November 1, 2012                 10/1/11 - 9/28/12
   November 30, 2012               For projects ending on 9/28/12
   Phase III Final Report

D. Submission of Semi-Annual Indicators of Progress
   Deadline into MO                  Report Period
   Phase 1                           4/1/08 – 9/30/08
                                  10/1/08 – 3/31/09
                                  4/1/09 – 9/30/09
                                  10/1/09 – 3/31/10
                                  4/1/10 – 9/30/10
   October 1, 2008
   April 1, 2009
   October 1, 2009
   April 1, 2010
   October 1, 2010
   Phase II                          10/1/10 – 3/31/11
                                  4/1/11 – 9/30/11
                                  10/1/11 – 3/31/12
                                  4/1/12 – 9/28/12
   April 1, 2011
   October 1, 2011
   April 1, 2012
   October 1, 2012
   Phase III                         1/1/10 – 3/31/10
                                  4/1/10 – 9/30/10
   April 1, 2010
   October 1, 2010
E. Performance Evaluation of Projects and Program

**Tentative Dates**

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<tr>
<th>Phase I Projects</th>
<th>April 15 – July 1, 2010</th>
<th>Conducted by TMAC</th>
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<td>Phase II Projects</td>
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<td>Phase III Projects</td>
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<td>USAID Review</td>
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<td>Conducted by an External Evaluation Committee of Pulse CRSP commissioned by USAID</td>
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VI. PROGRAM POLICIES AND GUIDELINES

A. COST SHARE

The Pulse CRSP requires that each research project provide cash or in-kind contributions (cost share) on funds received according to the following guidelines:

- Lead U.S. universities must provide U.S. non-federal cost share as defined by the USAID reference document for cost-share -- 22CFR 226.23.
- The cost-share requirement for each project is at minimum 25% of the total U.S. costs. U.S. costs include total costs (direct + indirect) budgeted for personnel (staff salaries and fringes, labor cost, consultants), supplies, equipment, travel and non-participant training in the U.S. or at a non-HC institution outside the U.S. (e.g., IARCs).
- Host Country institutions are encouraged to also cost-share on Pulse CRSP project expenses as evidence of institutional commitment and support for the program, however this is not auditable. Please be reminded that Host Country cost share does NOT contribute to meeting the 25% U.S. institutional cost-share requirement.

B. U.S. – HOST COUNTRY INSTITUTIONAL BUDGET SPLIT

A minimum of 50% of the direct funds must be expended in or on behalf of the Host Country Institutions participating in this CRSP. Higher percentages of funding budgeted for Host Country Institutions will, however, be viewed favorably

C. INITIATIVE TO END HUNGER IN AFRICA (IEHA)

USAID requires that 25% of the overall Dry Grain Pulses CRSP portfolio focuses on priorities and countries included in the President’s Initiative to End Hunger in Africa (IEHA) (http://www.usaid.gov/locations/sub-saharan_africa/initiatives/ieha.html). Current IEHA countries and regional programs identified are: Mali, Ghana, Niger, Zambia, Malawi, Mozambique, Uganda, Kenya, REDSO, WARP and RCSA.

All Pulse CRSP projects with activities in Africa must seek to fulfill IEHA objectives and collaboratively engage researchers, policy makers and development professionals involved with IEHA and CAADP in research design and implementation.

The Dry Grain Pulses CRSP is responsible for contributing toward the overall USAID IEHA program by directing at least 25% of the total budget to support IEHA objectives. In order for activities to be attributed to IEHA targets, sub-awarded projects will be asked to report on USAID-established indicators.

Added Comment: As of Fiscal Year 2011, USAID discontinued the “Initiative to End Hunger in Africa” (IEHA) and initiated a new Presidential Initiative “Feed the Future” (FTF). For FY 2011 onward, USAID has requested that the Dry Grain Pulses CRSP aligns its technical research, dissemination and capacity building activities with the goals and priorities of the FTF “Global Food Security Research Strategy”. To this end, the Pulse CRSP and its subcontracted projects are required to annually establish targets and report on Feed the Future Performance Indicators. In spite of this change, USAID’s contract with Michigan State University still requires that the Pulse CRSP provide 25% attribution of the program to IEHA objectives.
D. INSTITUTIONAL CAPACITY BUILDING AND TRAINING

Increasing the capacity of HC institutions is a priority global theme for the Dry Grain Pulses CRSP. The CRSP is committed to utilizing the unique capacities of U.S. and HC universities to provide cost-effective, innovative, and gender balanced short-term and degree training for young professionals from developing countries in response to identified institutional needs. Programmatic priorities for institutional capacity building include: a) Support of training utilizing leveraged funds to achieve dual program objectives—research and human resource development, b) Support of degree training that addresses specific identified HC institutional needs, c) The use of advanced regional HC institutions for degree and short-term training, d) Short-term training in cutting-edge technologies, tools and management skills, and e) Support for equipment, facility and professional development needs of HC institutions to conduct research, teaching and outreach. All subcontracted projects are required to give priority to institutional capacity building through long-term degree training, short term training and/or the purchase of equipment ($>5,000) which will enhance the capacity of the Host Country institution in research, teaching or outreach. The Pulse CRSP’s expectation is that subcontracted projects devote at least 30% of project funds to HC capacity building activities.

All trainees that come to the U.S. must be in compliance with USAID guidelines for Participant Training (ADS 253). See Section “VII: Participant Training.” It is the responsibility of the subcontracted U.S. Lead universities of Pulse CRSP projects to ensure compliance and to develop capacity for use of “TraiNet”.

E. GENDER EQUITY

Women play vital roles in all subsectors of pulse value-chains in Africa and Latin America. Not only do women frequently assume the primary responsibility for growing pulses and other crops for household food security, but many women are entrepreneurial and market bean and cowpea grain or processed foods locally. In Sub-Saharan Africa, women account for 70-90% of household food production, while in East Africa women comprise 54% of the total work force in the agriculture sector. Nearly 100% of the Kosai (a deep fried cowpea fritter) processors/vendors in West African countries such as Niger, Senegal and Mali are women. Among the indigenous Andean populations in Ecuador, Peru and Bolivia, the production of common, fava and lima beans are the responsibility of largely women.

Ensuring gender equity, access to technology and improvement of the livelihoods of women will be cross-cutting within the Pulse CRSP and an integral part of all aspects of program conceptualization, design, implementation and assessment. Proposals for sub-contracted projects will be required to describe how gender issues have been considered in project planning and design. The recruitment and training of women in critical areas of agricultural science where under-represented will be a priority in the Pulse CRSP. Women need to be prepared for positions of leadership in national research programs, private industry and public service. Satisfactory inclusion of gender into the project proposal will be a criterion for selection of projects and the evaluation of workplans.

F. BIODIVERSITY

Biodiversity conservation is extremely important to USAID. Conservation of biodiversity applies not only to the flora and fauna in agro-ecosystems, but also to the insect and microbial populations within those systems. The Dry Grain Pulses CRSP is well positioned to support and contribute to biodiversity conservation since beans and cowpeas are indigenous to Latin America and Africa, respectively. Wild species and domesticated land races of Phaseolus and Vigna frequently exist in close proximity to cultivated beans and cowpeas within these regions. In addition, bacteria (e.g., Rhizobium sp., etc.), fungi, nematode, insect, and bird species have evolved in association with
these pulse species in the respective ecosystems. Cultural management interventions can potentially alter the ecological balance of these associated organisms, many of which are beneficial, thus influencing their continued survival. The Dry Grain Pulses CRSP is committed to the maintenance of biodiversity for the purposes of sustainability of cropping systems in developing countries. To the extent possible, all CRSP research, outreach and institutional capacity building/training initiatives should seek to contribute to sustainable conservation of biodiversity.

G. PROTECTION OF INDIVIDUALS AS RESEARCH SUBJECTS

Safeguarding the rights and welfare of human subjects involved in research supported by USAID is the responsibility of the contracted and subcontracted institutions. USAID has adopted the Common Federal Policy for the Protection of Human Subjects, Part 225 of Title 22 of the Code of Federal Regulations (the “Policy”). Additional interpretation, procedures and implementation guidance of the Policy are found in USAID General Notice entitled “Procedures for the Protection of Human Subjects in Research Supported by USAID,” issued April 19, 1995, as form time to time amended USAID’s Cognizant Human Subjects Officer (CHSO) in USAID/W has oversight, guidance and interpretation responsibility for the Policy.

The Dry Grain Pulse CRSP and all sub and sub-subcontractors must comply with USAID policy when humans are the subject of research, as defined in 22 CFR 225.102(d), funded by the grant and recipients must provide "assurance", as required by 22 CFR 225.103, that they follow and abide by the procedures in the Policy. See also Section 5 of the April 19, 1995, USAID General Notice which sets forth activities to which the Policy is applicable. The existence of a bona fide, applicable assurance approved by the Department of Health and Human Services (HHS) such as the "multiple project assurance" (MPA) will satisfy this requirement. Alternatively, Dry Grain Pulse CRSP subcontractors can provide an acceptable written assurance to USAID as described in 22 CFR 225.103. Such assurances must be determined by the CHSO to be acceptable prior to any applicable research being initiated or conducted under the award. In some limited instances outside the U.S., alternative systems for the protection of human subjects may be used provided they are deemed "at least equivalent" to those outlined in Part 225 (See 22 CFR 225.101[h]). Criteria and procedures for making this determination are described in the General Notice cited in the preceding paragraph.

Since the welfare of the research subject is a matter of concern to USAID as well as to the CRSP, USAID staff consultants and advisory groups may independently review and inspect research and research processes and procedures involving human subjects, and based on such findings, the CHSO may prohibit research which presents unacceptable hazards or otherwise fails to comply with USAID procedures. Informed consent documents must include the stipulation that the subject's records may be subject to such review.

H. POLICY ON INTELLECTUAL PROPERTY

Guidelines for U.S. and HC Scientists in Dry Grain Pulses CRSP Activities
The Dry Grain Pulses CRSP adopts the following guidelines governing the generation, legal protection, use, handling, and transfer/licensing of IPs in CRSP-financed collaborative research and training activities within both the United States and HCs. These guidelines are formed by international, national, institutional and project legislation and/or policies. For some of the definitions and principles underlying the IP policy, please refer to Appendix J.

1. International-GATT/TRIPS
CRSP scientists must abide by provisions within the Uruguay Round’s Agreement on Trade Related Intellectual Property Rights (the TRIPS Agreement) when transferring, using and managing IPs in an
international context. TRIPS imposes global minimum standards for intellectual property rights. Key requirements of TRIPS that may affect the activities of CRSP scientists who are involved in collaborative research projects with HC scientists include the following (not a complete listing):

a. Requires that countries provide patent protection for genes, microorganisms, microorganism processes and pharmaceuticals.

b. Permits exclusion from patentability for living plants and animals as well as biological processes for producing plants and animals.

c. Requires countries not providing patent protection for plant varieties to provide protection through an effective *sui generis* system (i.e., PVP).

**Convention on Biological Diversity:** All novel germplasm from foreign countries (non-U.S.) to be utilized in Pulse CRSP funded projects must be acquired in accord with the guidelines established under the UN Convention of Biological Diversity (1993) (CBD) and laws of the relevant donor country.

2. **National**

**Standard Provisions of USAID Grant:** The Dry Grain Pulses CRSP, being a federally funded program through the United States Agency for International Development (USAID), complies with the Patent Rights (Aug. 92) provision (p. 10-13) of the Standard Provisions of the USAID grant.

**NIH:** The Dry Grain Pulses CRSP requires that all research activities involving products of genetic engineering, whether in the U.S. or in HCs, abide by relevant laws and guidelines for biosafety and food safety such as established by the National Institutes of Health (NIH) and the Food and Drug Administration (FDA) or similar laws/policies in the country where the research is being conducted.

**Bayh-Dole Act (1980):** Any institution, including both U.S. and HC, receiving Dry Grain Pulse CRSP subcontracts must comply with the Bayh-Doyle Act (1980) when establishing ownership of IPs generated through CRSP-funded research activities and licensing legally protected technologies to other parties. See below (Institution) for specific institutional provisions established by the Bayh-Doyle Act (1980).

3. **Institutional**

In accord with the Bayh-Dole Act (1980) and the Standard Provisions for USAID grants, the following provisions relative to inventions apply to universities and HC Institutions receiving Dry Grain Pulses CRSP subcontracts. These provisions are applicable regardless of whether the project, in which the invention was conceived or first reduced to practice, was fully or partially funded by the CRSP.

a. CRSP researchers are obligated to report any invention to the University (Office of Intellectual Property) or HC Institution having a subcontract. The Lead University or HC Institution must report within sixty days the invention to the Management Entity for the Dry Grain Pulses CRSP, Michigan State University, which will assume the responsibility of reporting to USAID.

b. The University or HC Institution may elect to retain title to inventions developed under Dry Grain Pulses CRSP projects.

c. The University or HC Institution must file patents on inventions they elect to own.

d. The U.S. Government is granted a non-exclusive license to practice the patent throughout the world. In the case of USAID, this would most likely be in LDCs.

e. The U.S. Government retains march-in rights if the University or Institution is not moving forward with the invention, i.e., USAID has the right to grant a license in any field of use to a responsible applicant.

f. The University or HC Institution may license the invention for commercialization.

g. Any company that holds an exclusive license for sales in the United States must substantially manufacture the invention in the U.S.

h. The University or HC Institution may not re-assign rights back to the inventor without permission from the funding agency.
i. The University or HC Institution may not assign its rights to inventions to third parties except for a patent management organization.

Dry Grain Pulses CRSP Policies on IP

Universities and institutions receiving Dry Grain Pulse CRSP subcontracts are required to adhere to the above guidelines that are in accord with national and international laws and agreements and institutional policies. It will be the responsibility of the individual institutions with subagreements with the ME (Michigan State University) to ensure compliance.

Based upon the Fundamental Principles, the Dry Grain Pulses CRSP encourages CRSP scientists and their respective institutions:

- To apply for intellectual property protection for advanced biological technologies and/or intermediate (i.e., DNA probes, vector strains, gene constructs, primers, etc.) or final products (i.e., transgenic organisms, genetic maps, etc.) in order to assure the availability of such technologies to developing countries.
- To seek plant variety protection for elite germplasm/cultivars that have been developed as a result of CRSP-supported breeding programs in order to assure availability to growers in both the U.S. and in HCs.
- To apply for patents or other legal mechanisms to protect intellectual contributions in order to assure the availability and maximum potential benefit of said IPs and associated technologies to CRSP target groups (i.e., small farmers, women, etc.) in the U.S. and HCs.

The Dry Grain Pulses CRSP recommends the use of the following mechanisms to assure an orderly but flexible, safe and legal process for disclosure, transfer, and utilization of IPs/technologies.

Research Agreements and Joint Venture Agreements: Research Agreements which include Intellectual Property management guidelines must be signed by the Dry Grain Pulses CRSP Management Entity, Michigan State University, and the U.S. Universities to whom contracts are awarded, and by the U.S. Dry Grain Pulses CRSP institutions and HC Institutions with whom subcontracts are established. Research agreements will be required as a mechanism to define the obligations of all parties to ensure compliance by HC Institutions and NARS with CRSP policies.

Disclosure Agreements: Pulse CRSP researchers/institutions must notify the MO within 30 days after filing an invention/discovery disclosure form or application for plant variety protection (PVP).

Material Transfer Agreements: Principal Investigators should obtain Material Transfer Agreements (MTA) when transferring biologically active material (i.e., genetic material, including transgenics, elite germplasm and parental lines of hybrids) between CRSP universities and institutions and with non-CRSP entities. MTA should establish the terms regarding use, handling, liability, commercialization and publication of data of said biologically active material. MTAs are a mechanism to assure long-term availability of genetic products from CRSP funded breeding programs to public and private organizations in the U.S., Africa, Latin America and the Caribbean. MTAs should be on file at the respective universities/institutions where the research is being conducted and be available to the MO upon request (but not more frequently than once annually). Failure to acquire such agreements or to present them to the MO when requested may result in a discontinuation of financial support for the specific research activity.

Licensing Agreements: Licensing Agreements serve two distinct purposes as related to Dry Grain Pulse CRSP activities.

Licensing of third-party IPs for use in Pulse CRSP-supported research and development activities. The Dry Grain Pulses CRSP recognizes that IPs may be necessary for the achievement of certain CRSP research objectives, especially in the area of plant genetics. Licensing Agreements establish the terms and conditions for both parties (supplier
and scientist) for the use of the IP in research and assures that CRSP universities and institutions will have the option to license at some future time end products of said research.

As a matter of general policy, the Dry Grain Pulses CRSP will not support financially those research programs in which Licensing Agreements for proprietary IPs to be used in a research activity will prohibit the commercialization of end products of the research involving IPs (i.e., a transgenic line, etc.) and/or restrict their transfer and utilization by both CRSP institutions and non-CRSP entities (i.e., NGOs, research institutions, etc.).

**Licensing of innovations and technologies developed by the CRSP.** Licensing Agreements should be used to establish the terms and conditions for both parties (a CRSP university or institution and a non-CRSP entity) for the commercialization or transfer/dissemination of protected creations and technologies developed in full or part with CRSP financial support. License Agreements are usually long-term arrangements which assure access by private, public and non-profit interests to CRSP technologies.

Licensing Agreements do not require MO approval, but must be on file at the respective universities/institutions where the research is being conducted. A copy of Licensing Agreements involving CRSP-developed technologies (type b) must be sent to the MO for information and record keeping purposes. Failure to acquire such agreements or to present them to the MO when requested may result in a discontinuation of financial support for the specific research activity.

**Approval Form for Genetically Modified Organisms (GMO):** Dry Grain Pulses CRSP scientists are required to complete an Approval Form for the movement of GMOs to a HC, whether or not the GMO was developed in part with CRSP funding, and whether or not it was developed through CRSP-funded research activities outside the country of origin. Approval forms will be forwarded to USAID for review and approval in accordance with USAID’s Biosafety Review Procedures.
VII. PARTICIPANT TRAINING


C.17 PARTICIPANT TRAINING (APRIL 1998)
(a) Definition: A participant is any non-U.S. individual being trained under this award outside of that individual’s home country.
(b) Application of ADS Chapter 253: Participant training under this award shall comply with the policies established in ADS Chapter 253, Participant Training, except to the extent that specific exceptions to ADS 253 have been provided in this award with the concurrence of the Office of International Training.

The following language regarding Training appears in all sub-agreements negotiated by the Management Entity, Michigan State University, for Pulse CRSP research, outreach and training activities.

XXIV - TRAINING
Participant training under this Subagreement is to be conducted according to Article 5 of the Required Applicable Standard Provisions for U.S., Nongovernmental Recipients attached hereto as Appendix A. Participant Training under this award shall comply with the policies established in ADS 253, “Participant Training.”

Within ADS 253- Training for Development, USAID requires that Sponsoring Units ensure that the Implementer or Participant completes the following documents and processes for U.S. Training. (See attached ADS 253 document.)

253.3.1.3 Required Documentation, Information, and Processes (Effective Date: 06/18/2004)
For Participants studying in the U.S., the Sponsoring Unit must ensure that the Participant or the Implementer completes the following documents and processes:

   a. A medical examination form, except when covered by the 30-day Health and Accident Coverage (HAC) policy, which requires no medical exam;
   b. Health and Accident Coverage (HAC) enrollment for U.S. and third country training (see the mandatory reference, HAC Insurance and Certification of Medical Eligibility);
   c. Certification of English language proficiency (see the mandatory reference, English Language Proficiency);
   d. A Conditions of Sponsorship Form (AID Form 1381-6);
   e. A USAID-issued Form DS-2019 for requesting a J-1 non-immigrant exchange visitor visa and subsequently a J-1 visa; and
   f. A round-trip airline ticket, purchased in compliance with the Fly America Act.

An important policy set forth in ADS Chapter 253 is that a trainee from a foreign country supported through a USAID grant/cooperative agreement should enter the U.S. with a USAID-sponsored J-1 visa. The DS 2019 to obtain the J-1 visa is generated through the TraiNet/VCS/Student and Exchange Visitor Information System (SEVIS) interface system developed by USAID. This policy applies to both long-term (degree) and short-term training (defined as any training activity less than 9 months). U.S. university subcontractors of Pulse CRSP projects which involve training of Host Country persons should therefore have trained and qualified persons to use TraiNet. ADS 253.3.2 also requires that implementers record third-country training Participants in the TraiNet database, just as they do for Participants receiving training in the U.S.
Subcontractors are also encouraged to become familiar with ADS 252- Visa Compliance for Exchange Visitors which is cited frequently in ADS 253. Under certain circumstances it may be possible to obtain a waiver of the J-1 visa, however this is not the norm.

To ascertain compliance with USAID’s requirements regarding Participant Training, including the issuance of a USAID-sponsored DS-2019 and a J-1 visa, the Management Office requires that all subcontracted Lead U.S. universities submit a completed Trainee Information Form (Appendix M) to the MO for each trainee receiving either full or partial support through the Dry Grain Pulses CRSP.

In addition to required subcontractor compliance with USAID Standard Provisions, the Pulse CRSP requests adherence to the following program policies on training.

A. PROGRAM POLICIES REGARDING TRAINING IN THE U.S.

Trainee Categories and Budget Policies
Degree or short-term training in the U.S. can occur either as “participant training,” “other training,” or “non-participant trainee/CRSP research assistant.” The following policies apply to each category:

1. **Participant Trainee:**
   Training must occur in accordance with the procedures set forth in ADS 253. These include (but are not limited to):
   - USAID-sponsored J-1 visa
   - Use of TraiNET-VCS by the CRSP U.S. institution to generate a DS-2019, and to track and report the status of trainees to USAID
   - Enrolling trainees in the HAC insurance program
   - Complying with guidelines pertaining to participant allowances and U.S. tax payment

   **Budget policy:**
   All training costs associated with “Participant training” in the U.S. should be budgeted as “U.S. for Host-Country expenses”. These costs are exempted from the 25% match requirement from the U.S. institution.

2. **Other Trainee:**
   Students/trainees from the U.S., a HC or a third country who receive indirect support from CRSP for research only (e.g., laboratory facilities, equipment, travel, research supplies, etc.) are considered “other trainees.”

   **Budget policy:**
   By definition, this category of training has zero budget going directly to the trainee (in the form of tuition fees, stipend/salary or assistantship). The “Budget Note” in the workplan should indicate the source of leveraged funds for this category of trainee and type of research support provided by the CRSP.

3. **Non-Participant trainee/CRSP research assistant:**
   - Includes all graduate students and short-term trainees who are U.S. citizens and are receiving total or partial support from the CRSP.
   - Also includes graduate students/short-term visitors from a host country or a third country who are partially or fully supported by the CRSP (in the form of tuition fees, stipend/salary or assistantship for services rendered) but are not participant trainees (as defined above).

   **Visa policy:**
Non-participant trainees/CRSP research assistants from a host country who come to the U.S. with the intention of being fully or partially supported under a CRSP project, are required to receive a university-issued DS 2019 to obtain a university-sponsored J-1 with a two-year residency requirement within the home country subsequent to graduation.

**Budget policy:**
All costs associated with “non-participant trainee/CRSP research assistant” should be budgeted as “U.S. research expenses.” Costs budgeted for this type of training in the U.S. are considered a U.S. institution’s expense for completion of Pulse CRSP collaborative research commitments as outlined in approved workplans and thus require a 25% match from the sub-contracted U.S. institution.

**B. PROGRAM POLICIES REGARDING TRAINING IN A THIRD COUNTRY**

**Trainee Category**
Degree or short-term training in a third country (i.e., country other than the home country or the U.S) **should occur as “participant training”** in accordance with the procedures set forth in ADS 253. This includes (but not limited to):

- Use of TraiNET by the CRSP U.S. institution to track and report the trainees to USAID
- Enrolling trainees in the HAC insurance program (if training is in a third country)
- Complying with guidelines pertaining to participant allowances

**Budget policy**
All training costs associated with “Participant training” in a third country should be budgeted as “Host-Country expenses” (if budgeted under a HC sub-agreement) or as “U.S. for HC expenses” (if budgeted under the U.S. institution). These costs are exempted from the 25% match requirement from the U.S. institution.
VIII. MISSION ENGAGEMENT

The MO of the Dry Grain Pulses CRSP is committed to pursuing partnerships with and sharing information on research, training and outreach achievements with USAID Country and Regional Missions. To this end, U.S. and HC PIs as well as the Program Director and Associate Director should seek to proactively engage country USAID Missions at various stages during the implementation of projects within a country or region. These engagements may include courtesy visits to introduce Scientists and HC collaborators and to share information and discuss CRSP activities being carried out.

All visits by PIs to USAID Missions should be preceded by notification of the USAID AOTR assigned to the Pulse CRSP through the Management Office. The “Travel Notification Form” can be used for this purpose.

Under Feed the Future, CRSPs are expected to respond to USAID “Focus” country and regional Mission FTF Strategies to transform selected priority value-chains. Numerous Missions in FTF Focus countries have identified beans, cowpeas and other edible grain legumes as strategic value chains. The FTF Strategies and multi-year implementation plans prepared by the focus country Missions can be accessed at http://www.feedthefuture.gov/countries.html.

In accord with USAID policy, Pulse CRSP PIs and affiliate institutions should not submit unsolicited proposals to USAID Country and Regional Missions to augment support for CRSP work in a particular country. The role of USAID-Washington’s Office of Agricultural Research and Policy and of AORs is to represent the capacities, resources and services of individual CRSPs to USAID field missions and to initiate dialog on potential Associate Awards. If Missions have potential interest in a supporting work in their respective country, the first step would be a request through the MO of the Dry Grain Pulses CRSP the preparation of a Concept Paper.

The ME is positioned to administer Associate Awards that might be contracted by USAID Country and Regional Missions for work to be carried out by subcontracted institutions. As the “Leader” of an LWA award involving subcontracts with partner institutions, MSU is committed to providing unbiased representation of the capacities and interests of the community of U.S. and HC scientists and institutions which participate in the program. The Dry Grain Pulses CRSP can provide a broad range of deliverables to Missions to achieve their in-country foreign assistance and development objectives including: technologies to enhance the productivity and marketability of pulses (i.e., pigeonpeas, fava beans, chickpeas, and lentils); cost-effective training (e.g., short courses, graduate degree training) opportunities; consultative services in such areas as biotechnology, disease diagnosis, market development, food processing, human health, community nutrition, and extension methodologies; research to find solutions to crisis situations (crop disease outbreaks); and seed of improved bean and cowpea varieties for distribution to farmers in response to natural and political disasters.
IX. FEDERAL GUIDELINES

A. FEED THE FUTURE

The President’s Global Hunger and Food Security Initiative, titled “Feed the Future (FTF)”, has the overarching goal of sustainably reducing global poverty and hunger (www.feedthefuture.gov). Providing sufficient food to the world’s growing population will require a 70 percent increase in agricultural production by 2050 (Bruinsma 2009). To meet this food security challenge under constraints of limited agricultural land availability and increased climatic variability, the world will need to support and develop scientific and technological innovations that increase agricultural productivity in an environmentally sound manner while improving the availability of nutritious foods. The food price spikes of 2006-2008 and that are resurfacing today underscore the fragility of global food security, with recent estimates that nearly a billion people are food insecure (Shapouri 2010), affecting families in the United States and around the world. While the causes were many, the underlying challenges are clear: the world cannot achieve the Millennium Development Goals (http://www.un.org/millenniumgoals/) relating to hunger, poverty, health, gender and the environment when the growth of agricultural productivity and income stagnates or is otherwise insufficient.

The global research portfolio, presented in the FTF Global Food Security Research Strategy serves as an integral strategy within the broader Feed the Future Initiative. The FTF Initiative includes targeted investments in Focus Countries to enhance agricultural productivity, to expand markets and trade, and to increase the economic resilience of vulnerable rural communities in addition to supporting a multifaceted approach to nutrition. The FTF Initiative will make complementary investments in regional programs where food security issues go beyond national boundaries, multilateral mechanisms for large-scale investments such as infrastructure, and strategic partnerships with countries that serve as regional anchors for food security.

Research investments described in this FTF Research Strategy focus on international public goods, which benefit Focus Country producers and consumers as well as those in neighboring countries. International public goods research will be linked to investments in Focus Countries in local adaptive research, institutional and human capacity building and strengthening of extension services. These country-level investments are central to the successful utilization of the outputs of research. Operational dimensions and linkages between the global research portfolio and national level programs will need to be worked out in each country in ways that fully reflect the country-led approach.

A. Why research?
Research figures prominently in the Feed the Future Initiative because it is critical to sustainably enhancing agricultural productivity growth, which is strongly linked to economic growth in developing countries and has shown substantial impact on reducing poverty in Asia and Africa (Thirtle et al. 2003). Ensuring global food security will only become more difficult given the challenges associated with providing sufficient food for a growing global population. In addition, growth in agricultural productivity faces increasing challenges from land degradation, climate change, scarce water supplies, and competition for energy resources from industry and urbanization. In addition to the linkages among agricultural productivity, agriculture-led economic development and poverty reduction, we also recognize the multiple interacting direct and indirect pathways through which agricultural research can contribute to improved nutrition. Solutions lie in research to achieve sustainable intensification through increases in agricultural productivity with an emphasis on improving the nutritional quality of the diet.
while reducing agriculture’s adverse impact on natural resources and the environment.

Environmentally and economically sustainable agricultural productivity gains will be generated from a range of innovations, including resource use efficiency, genetic improvement, integrated pest management, reduced post-harvest losses, risk management strategies, and reduced marketing costs. These innovations will be developed and deployed in close collaboration with stakeholders from national governments to local communities to ensure that technologies and innovations developed are responsive to the needs of poor producers in our partner countries.

**Impact.** Investing in agricultural research today will contribute to the growth and resilience of the food supply tomorrow. When combined with effective extension services and appropriate market incentives, agricultural research increases agricultural productivity (affecting the availability of food) but also increases real income to purchase food (impacting household access to food) and, potentially, the quality of the diet consumed (associated with human nutritional status). Moreover, increased agricultural productivity drives demand for goods and services, especially those produced locally, helping generate employment and further reducing poverty. Agricultural research and technology deployment accompanied by investments in extension, education and other activities that spur rural enterprises are very effective in driving broad-based economic growth, which can especially benefit low-income groups.

**Scale.** Since outputs from global research have broad applicability, they can be adapted over wide areas to increase agricultural productivity. Collectively, agriculture productivity and efficiency gains can add tens of billions of dollars to developing countries’ economies and food security annually. Direct and indirect income gains, multiplied year after year, lead to rural transformation through increased demands for locally produced goods and services. Past research indicates high rates of return from agricultural research in Sub-Saharan Africa, averaging between 22-34 percent per year (Alston et al. 2000, Thirtle et al. 2003). The growth in agricultural GDP generated by productivity gains provides broad impact across the economy, for both producers and consumers.

**B. What is new?**
The global research strategy under the Feed the Future Initiative is one part of the larger Feed the Future strategy and will be implemented in close coordination with other programs in the Initiative. Feed the Future’s research portfolio emphasizes a new paradigm of sustainable intensification to catalyze agriculture-led economic growth by focusing on environmentally sustainable productivity gains through research that is purpose-driven and impact-oriented, and that operates in close coordination with deployment of research outputs through extension, education, evaluation and feedback at the individual country level. Our strategy calls for closer ties and sharing of information across the three stages of research—discovery, development and deployment. This includes the integration of natural science and social science research including policy analysis to increase impacts for developing world farmers.

The approach also emphasizes building linkages and collaborations across the U.S. and international research communities and helping to leverage U.S. public and private research investments with the investments made by others. We will work closely with other research donors such as foundations, the private sector, and governments to target common priorities to enhance agricultural productivity and sustainability.

**Whole of Government.** Feed the Future adopts a new whole of government approach to leverage the
existing competencies of USG agencies toward the common goals of reducing poverty and hunger. The Department of State, the U.S. Agency for International Development and the U.S. Department of Agriculture have worked together to develop this strategy. USG agencies will work together to implement the FTF research strategy, including, where appropriate, aligning their food-security related research programs with the FTF research priorities.

**Highlighting Gender.** Women play a key role in achieving a food-secure world and our research strategy takes into consideration the needs and roles of women as producers, entrepreneurs, scientists, extension agents, and consumers. Integration of gender analysis and ensuring that benefits are equitably distributed from our investments are critical to achieving our goals of sustainably reducing poverty and hunger. Women often play a significant role in production as well as allocating household resources in ways that have significant benefits to children’s nutritional status, and understanding perspectives of both men and women in resource allocation will improve programmatic efforts to increase productivity and improve child nutrition at the household level. In addressing gender and the needs of women as agricultural producers, the FTF research strategy takes into account their access to assets, inputs, and technologies which also, conversely, require that the technologies we are developing respond to potentially differing needs and roles of men and women. We will work to expand the involvement and participation of women in decision-making at all levels and in all institutions, including those dedicated to research and extension. FTF will advance women's leadership in science and technology through proactive recruitment, mentoring, and targeted research support.

**C. What will we do?**

Purpose-driven Research. Three research themes have been identified to advance food security and development in service of the broader objectives of Feed the Future. These three themes join together in the concept of sustainable intensification:

- **Advancing the productivity frontier:** Improving food availability is underscored in this research theme. While better management practices can reduce the prevailing yield gaps in many developing countries, productivity gains necessary to meet future food demand (under limited resources and with potentially adverse impacts from climate change) require developing new seeds and livestock breeds that push the productivity frontier to the next level. A focus of the FTF research strategy will be on breeding and genetics for major crops and livestock, vaccine development for livestock diseases, and better management policies and practices for fish (both capture fisheries and aquaculture) to increase the yield potential and provide solutions for major production constraints. To more effectively integrate the use of these technologies among poor farmers, research under this theme will encompass socio-behavioral and economic factors related to technology adoption including analysis of incentive structures and policies.

- **Transforming Production Systems:** Sustainable intensification places the agricultural research agenda into a broader context, spanning biophysical, policy and social elements of key production systems where the poor and undernourished are concentrated. Combined with research on natural resources at the systems level, this priority area emphasizes the integration of research advances (e.g., those from priority area 1) within production systems where poverty and malnutrition are concentrated. It also focuses on natural and social science research to examine impacts, particularly interaction effects, of component technologies to increase systems-level productivity and sustainability. Research within the systems context will contribute to improved stability of food production, incomes, and farmer resilience. Key opportunities include research on soil fertility, water and nutrient policy and use, aquaculture and fisheries policy and management, producer safety nets, conservation agriculture, input and output
markets, and trade. Many of these areas offer significant opportunities for increasing efficiency and reducing risk.

**Enhanced nutrition and food safety.** This theme emphasizes the importance of ensuring that agricultural systems contribute to nutrition and health goals. This theme will focus on opportunities to improve availability and access to a high quality diet, particularly for women and young children. Through targeted research in the natural and social sciences, we will focus agricultural systems on improving nutrition through diversification of production systems, enhancing dietary diversity and nutrient density of foods and reducing postharvest losses. This theme will also improve utilization of food through attention to food safety challenges with a focus on reducing contaminants in the food supply. Research priorities in this theme are integrally linked to the first two themes thereby leveraging those investments to ensure the dual focus on improving nutrition and reducing poverty.

**Feed the Future “Focus” Countries and Regions** (as of Jan. 2012) include:

(https://www.feedthefuture.gov/countries)

<table>
<thead>
<tr>
<th>Country</th>
<th>Region</th>
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<tbody>
<tr>
<td>Bangladesh</td>
<td>Asia Regional (RDMA)</td>
</tr>
<tr>
<td>Cambodia</td>
<td></td>
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<tr>
<td>Ethiopia</td>
<td>Central America and Mexico Regional</td>
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<tr>
<td>Guatemala</td>
<td>East Africa Regional</td>
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<tr>
<td>Honduras</td>
<td>Southern Africa Regional</td>
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<tr>
<td>Liberia</td>
<td>West Africa Regional</td>
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<tr>
<td>Mali</td>
<td>Mozambique</td>
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<tr>
<td>Nepal</td>
<td>Nicaragua</td>
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<tr>
<td>Rwanda</td>
<td>Senegal</td>
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<tr>
<td>Tajikistan</td>
<td>Tanzania</td>
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<tr>
<td>Uganda</td>
<td>Zambia</td>
</tr>
</tbody>
</table>

**B. TRAVEL AND NOTIFICATION OF TRAVEL**

The Standard Provision on Air Travel and Transportation states that international travel, as provided for in the grant, is authorized unless disapproved by the USAID/W Agreement Officer’s Technical Representative in writing prior to the commencement of travel. Travel notifications must be submitted by the U.S. Lead Institution PI to the MO on the "CRSP International Travel Clearance Notification" form (see Appendix K) for ALL CRSP-paid travel which crosses ANY international border. This includes all HC persons traveling internationally on CRSP funds, including to the U.S. Only one copy of the form is needed and up to five travelers with a common travel itinerary may be included on a single form. For international group travel (More than 5), a list of travelers can be attached to the form.

If a trip requires Mission logistical support or assistance, USAID/W must cable the Mission and receive their approval of the proposed travel. In this case, the form should be submitted to the MO 45 days in advance to give USAID/W time to contact the Mission.

Travel Notification form is available to down-load from the Pulse CRSP web page, http://www.pulsecrsp.msu.edu/. Completed Travel Notification forms should be faxed/email to the MO. The MO should receive the form as far in advance as possible but absolutely no later than **14 days prior to the date the travel is to begin.** The MO recognizes that it is not always possible to schedule travel more than 21 days in advance; however, be aware that anything less may result in a travel delay or cancellation.
Travelers are encouraged to contact the Agriculture/General Development Officer as soon as possible upon arrival in-country to maintain a congenial relationship with the USAID Mission and inform them of CRSP activities. If the trip is not taken or dates of travel change, the MO must be informed so that USAID/W and the Mission can be notified.

When completing the Travel Notification form:
1. Be sure to indicate whether or not each traveler has security clearance from the U.S. Government. If the traveler has never been directly employed by the U.S. Government, the answer will nearly always be "No."
2. In indicating inclusive travel dates, be as specific as possible but consider them to be thresholds of time rather than precise departure dates.
3. List all countries to be visited and indicate dates visiting each, if travel encompasses more than one international destination.
4. Be specific and informative about purpose of travel and, if certain stops on the itinerary vary in purpose, indicate the multiple purposes for each site visit. Travel must be related to CRSP activities.
5. Name each CRSP-related person, their title, and office/association that you will contact on this visit. This will allow the Mission to contact you if an emergency arises.
6. The U.S. Lead Institution PI must sign all forms.

Use of CRSP Funds for Technical/Professional Interchange
The policy regarding the use of CRSP funds to attend technical/professional meetings is established in the Mandatory Standard Provisions for U.S., Nongovernmental Recipients, 22 CFR Part 226, and OMB Circular No. A-21. The policy is summarized here for your guidance:

1. Professional interchanges, including the exchange of visits and staff, workshops and seminars, and seeking occasions to consult with and involve others professionally and technically, are encouraged.
2. Costs of meetings and conferences, when the primary purpose is the dissemination of technical information, are allowable. This includes the cost of meals, transportation, rental of facilities and other items incidental to such meetings or conferences.
3. Funds for these purposes should be specifically included, programmed for, and explicit in annual budgets.
4. Use of Pulse CRSP funds for such travel will be subject to policies of the participating institutions in addition to those guidelines established by USAID/W.

C. EQUIPMENT PURCHASES

All equipment purchases require specific approval. 22 CFR Part 226 defines equipment as "an article of non-expendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit."

The specific language of 22 CFR Part 226 and discussions with the USAID/W Grant Officer have been used to prepare the "Dry Grain Pulses CRSP Equipment Authorization and Request to Purchase" form (Equipment form) (Appendix L). This form must be prepared and submitted to the MO for all equipment purchases. Equipment items should be specifically identified in the original proposal budget and in subsequent annual project budgets. If equipment had not been budgeted, an explanation of where the funding is coming from for the equipment is required, i.e., reducing international travel to purchase equipment.

If either the probable country source or the probable country origin are not U.S., a Source/Origin Waiver is required. This fact must be noted on the front of the Equipment form and the Justification Section on the back must be completed to justify the waiver.
It is important to always complete the Discussion Section on the back of the Equipment form, whether or not a Source/Origin Waiver is required.

One copy of the completed Equipment form should be sent to the MO where it will be reviewed by the MO Director/Deputy Director to confirm that the item requested supports research on identified project objectives. It will then be sent to the USAID/W Agreement Officer’s Technical Representative for their approval and forwarded to the USAID Office of Procurement for final approval. This approval will be transmitted in writing to the MO, which will forward copies to the U.S. PI and the designated Contracts and Grants Officer at their respective university.

THE MO WILL NOT PROCESS EQUIPMENT PURCHASE AUTHORIZATION REQUESTS FOR ITEMS ALREADY PURCHASED. Without prior USAID/W approval for purchase, equipment costs will be disallowed by Federal auditors. These costs will then be borne by the U.S. Lead Institution or that entity or individual responsible for authorizing the purchase.

D. BRANDING STRATEGY

The ME and all the participating U.S. and HC institutions must comply with the following Branding strategy approved by USAID.

1. Positioning
The intended name of this program is “Dry Grain Pulses Collaborative Research Support Program” (or simply “Pulse CRSP”).

The Dry Grain Pulses CRSP will have a program logo to identify itself. This logo is same to the logo utilized by the Bean/Cowpea CRSP during the grant periods 1980 – 2007. All communications and publications by the ME or its partner institutions that bear the program logo will also bear the USAID identity of equal size and prominence.

2. Program Communications and Publicity
All program communications and publicity documents/websites developed with financial support from the Pulse CRSP must be marked with USAID identity (which includes the logo and the text “From the American People”).

3. Acknowledgements
To implement the Dry Grain Pulses CRSP program and achieve its development objectives, the ME and partner institution may leverage resources from non-USAID sources. Based on the cost share leveraged by a specific research project or an activity, the outputs of that project (i.e., publications, events, programs) may acknowledge additional co-sponsors. These co-sponsors may include subcontracted CRSP institutions, other donor funded research and development programs, and private sector donors. In such circumstances, USAID must receive the same prominence as other co-sponsors in the acknowledgement.

E. MARKING STRATEGY

The ME and all the participating U.S. and HC institutions must implement the following Marking strategy approved by USAID.

1. Description of Program deliverables.
The program deliverables of the Dry Grain Pulses CRSP will include:
   a. Public communications such as “request for proposals” (RFPs) and program website
   b. Program materials (e.g., brochures, videos, program briefs, web page, etc.)
c. Technical reports (e.g., technical research progress reports, technical reports, publications in professional journals)
d. Program events (e.g., planning meetings, stakeholder meetings, conferences, workshops)
e. Training materials (e.g., extension materials, short course materials, etc.)
f. Degree programs completed by trainees
g. Equipment purchased to build institutional research capacity (e.g., vehicles, laboratory equipment)

2. Marking of Program deliverables:
All the Dry Grain Pulses CRSP supported activities must mark the program deliverables resulting during the program performance period in accordance with the guidelines provided in the following Table.

<table>
<thead>
<tr>
<th>Program deliverables</th>
<th>Marking plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public communications</td>
<td>USAID identity and acknowledgement statement</td>
</tr>
<tr>
<td>Program materials (except publications in professional journals)</td>
<td>USAID identity and acknowledgement statement</td>
</tr>
<tr>
<td>Publications in professional journals</td>
<td>Acknowledgement statement</td>
</tr>
<tr>
<td>Program events</td>
<td>USAID identity and acknowledgement statement</td>
</tr>
</tbody>
</table>

Type of marking: All the public communications, program materials and events funded by the Dry Grain Pulses CRSP will visibly bear the USAID identity (logo with the words “From the American People”). USAID will be acknowledged in all publications, videos, web pages or other information/media products funded in whole or in part through the Dry Grain Pulses CRSP. The acknowledgement will read:

This [publication, video, web pages or other information/media product (specify)] was made possible through support provided to the Dry Grain Pulses Collaborative Research Support Program (CRSP) by the Bureau for Economic Growth, Agriculture, and Trade, U.S. Agency for International Development, under the terms of Grant No. EDH-A-00-07-00005-00. The opinions expressed herein are those of the authors and do not necessarily reflect the views of the U.S. Agency for International Development or the U.S. government.

Placement of the marking: The acknowledgment and USAID logo will be placed on the top or bottom of the front or back cover and/or first inside title page of publications, and in a similar location in videos or other information/media products. The acknowledgment and logo will be similarly located and of similar size and appearance as co-sponsors or authorizing institutions. To ensure that this requirement for acknowledgment language and USAID identity mark is correctly followed, all publications and media releases (including brochures, workshop proceedings, monograms, books, videos, Internet web pages) funded in whole or in part through the Dry Grain Pulses CRSP will be required to be sent to the Management Office (MO) for review and approval prior to publishing. The MO will review these materials prior to publishing to ensure that:

- It contains the required information on naming and positioning of the USAID logo and acknowledgement.
- It promotes and communicates to cooperating country beneficiaries and citizens that the Dry Grain Pulses CRSP is a USAID-funded program and that it is “From the American People.”
- It is consistent with the Dry Grain Pulses CRSP’s program objectives.

Performance period: The program deliverables will be marked at the time of printing (for
printed materials) or prior to their release to the public (for the web page, RFP, video clips, etc.). Equipment purchased by the Dry Grain Pulses CRSP will be labeled at the time of receipt by the institution and prior to putting into operation.

3. Program Deliverables that will not be marked:

The only deliverables that will not be marked with the USAID Identity will be the “human resources” to be developed through this program (e.g., trainees). However, any publications that result from the direct support of the Dry Grain Pulses CRSP to a training program of a trainee (e.g., dissertation, thesis, research papers) will include the acknowledgement of USAID.

F. PUBLICATIONS

In accordance with Section 4 of the Standard Provisions on Publications and Media Releases and the Revised Guidance on USAID-Funded Communications Products, USAID must be acknowledged in all publications, videos, web pages or other information/media products funded in whole or in part through the Dry Grain Pulses CRSP.

The acknowledgment is to be placed on the top or bottom of the front cover or first inside title page of publications, and in a similar location in videos or other information/media products. The acknowledgment should be similarly located and of similar size and appearance as co-sponsors or authorizing institutions. To ensure that this requirement for acknowledgment language is correctly followed, all publications and media releases (including brochures, workshop proceedings, monograms, books, videos, Internet web pages) funded in whole or in part through the Dry Grain Pulses CRSP should be sent to the MO for review and approval prior to publication.

Three hard copies of all publications, videos or other information/media products plus an electronic copy if available funded in whole or in part under the Dry Grain Pulses CRSP must be sent to the MO upon their printing and/or release. The MO will forward a copy to the Agreement Officer’s Technical Representative and to the USAID Development Experience Clearinghouse.

Please contact the MO for assistance in obtaining Legislative and Public Affairs approval if Communications you plan under the Pulse CRSP is listed in both section A. Type of Media and B. Cost or Distribution:

A. Type of Media
   • Any printed material other than photocopy;
   • photographic services;
   • electronic information dissemination products, i.e., Internet pages audio;
   • television, video or film productions

And

B. Cost or Distribution
   • the costs exceeds $25,000;
   • it will be sent directly to or likely seen by a Member of Congress or Congressional staffer;
   • it will have more than 50% of its audience in the United States

G. INTERNET USAGE FOR CRSP PURPOSES

To assure compliance with USAID guidelines on publications and communication products, and to maintain a standard of excellence, all Pulse CRSP funded websites and other electronic applications that involve the Internet must comply with the following guidelines.
1. Compliance with USAID guidelines relative to Branding and Marking strategy, publications and media releases as outlined in the previous section.
2. Approval from the MO prior to releasing the web page or publishing an electronic application to ensure:
   a. The correct use of the Dry Grain Pulse CRSP logo, USAID logo, and their copyright symbols.
   b. The accuracy of titles of web pages or electronic publications (e.g., newsletters, brochures) and the identity of Dry Grain Pulses CRSP and its partnering U.S. and Host Country institutions.
   c. The consistency of formatting and quality among CRSP websites, and other electronic publications.
   d. The website/web-based publication is linked with other appropriate Dry Grain Pulse CRSP websites and databases on the Internet.
3. Permission from individuals appearing in photographs that might be posted, including Host Country scientists and other individuals from Host Countries.
4. Permission from the owners of databases and other materials that might be used or posted on the website.
5. Compliance with requirements and guidelines set by the “Source” for citing/using their data and other published materials on the website.
6. Compliance with regulations pertaining to publishing copyrighted materials in an electronic media.
APPENDIX
APPENDIX A
SAMPLE COST-REIMBURSEABLE SUB-CONTRACT WITH LEAD U.S. UNIVERSITIES

SUBAGREEMENT NO. Account number

Between

MICHIGAN STATE UNIVERSITY

And

UNIVERSITY NAME

THIS SUBAGREEMENT is between Michigan State University, Office of Contract and Grant Administration, for the Institute of International Agriculture, 321 Agriculture Hall, East Lansing, Michigan 48824, hereafter referred to as “MSU” and UNIVERSITY NAME, hereafter referred to as “LEAD INSTITUTION.”

I. INTRODUCTION

This Subagreement is in consideration of the following circumstances:

A. MSU, designated as the Management Entity (ME), is the recipient of a “Leader With Associates” Cooperative Agreement from the United States Agency for International Development (USAID) award No. EDH-A-00-07-00005 (hereinafter “Prime Award”), for the implementation of the Dry Grain Pulses Collaborative Research Support Program (CRSP).

B. The Dry Grain Pulses CRSP is administered by the MSU Dry Grain Pulses CRSP Management Office (MO) with technical input from the Technical Management Advisory Committee (TMAC) and substantial involvement by the USAID designated Agreement Officer’s Technical Representative (AOTR).

C. The LEAD INSTITUTION agrees that it will perform the services called for herein, and MSU agrees that it will compensate the LEAD INSTITUTION in the amount and under the terms and conditions enumerated in this Subagreement. MSU and the LEAD INSTITUTION further understand that this Subagreement consists of this document and the following Appendices:


Appendix B: Technical Application

Appendix C: Project Workplan for the first 12 months. Attached to the Workplan are “Semi-Annual Indicators of Progress” and “Performance Indicators for Foreign Assistance Framework and the Initiative to End Hunger in Africa” forms,

Appendix D: Subagreement Budget for the life of the project

Appendix E: Host Country Institutional Letters of Willingness to Partner in the Dry Grain Pulses CRSP Collaborative Research Support Program.

Appendix F: Marking and Branding Plan for the Dry Grain Pulses CRSP

Appendix G: Dry Grain Pulses CRSP Expense Reporting Form

Appendix H: Dry Grain Pulses CRSP International Travel Notification Form
II. STATEMENT OF WORK

The LEAD INSTITUTION shall perform the activities and services described in the detailed project workplan submitted to the Pulse CRSP MO (for the obligation period XXXXX-XXXXX) and, incorporated and appended hereto as Appendix C. The actual performance of that work shall conform in all aspects and be limited to the project proposal (Technical and Cost Applications) approved by the MO including:

A. Specific objectives of the project;
B. Expected inputs, outputs, and performance indicators of the project;
C. Program and contractual relationships with designated collaborating U.S. and Host Country Institution(s);
D. Fiscal and managerial responsibilities of the project consistent with the requirements of the prime award; and
E. Fiscal and administrative arrangements for the implementation of project activities at Host Country and U.S. sites.

Changes in any of the above work must be approved in writing in advance by the MO to ensure adherence to Global Program Themes and Objectives, appropriate relationships between collaborating institutions, and compliance as required under the terms of the Prime Award.

III - PERIOD OF SUBAGREEMENT

The period of performance of this Subagreement shall be from XXXXX through XXXXX, unless terminated earlier or extended by mutual written agreement of all parties.

Expenditures incurred prior to the beginning date or subsequent to the termination date are unallowable. All expenditures paid with funds provided by this Subagreement must be incurred by the LEAD INSTITUTION in pursuit of project objectives that take place during this period unless otherwise stipulated.

In the event of early termination, the LEAD INSTITUTION shall be reimbursed for all allowable costs incurred to the date of termination and for all allowable non-cancellable obligations, subject to availability of funds as described in XIV Termination and Suspension.

In the event the time prescribed herein should prove insufficient for the LEAD INSTITUTION to carry out the project objectives provided herein, MSU may provide such extension of the period of the Subagreement as may be deemed appropriate. Any extension will be effective only upon the execution of an amendment to the Subagreement for this purpose. All requests for extensions must be received in writing prior to the expiration date.

IV - AMOUNT OF SUBAGREEMENT

The total estimated amount of the Subagreement shall not exceed written amount US Dollars (US$ XXXXX). MSU obligates the amount of written amount US Dollars (US$ XXXXX), as partial funding of the total estimated amount as set forth above per the budget listed as Appendix D. The LEAD INSTITUTION may not exceed the total estimated amount or the obligated amount of this Subagreement, whichever is less.

Because this Subagreement is incrementally funded, funds obligated hereunder are only anticipated to be sufficient for project expenditures through approximately September 30, 2009. Revisions to the budget shall be made in accordance with 22 CFR 226.25 http://www.usaid.gov/pubs/ads/22cfr226.doc and Article V of this Subagreement. Subagreement budgets by institutional allocations for each Workplan periods of this project, as approved by the Dry Grain Pulses CRSP MO, are presented in Appendix D.
Additional funds up to the total amount of this Subagreement may be obligated by MSU subject to incremental obligations from USAID, satisfactory progress of the project, and relevance of activities to Pulse CRSP program goals.

V - ALLOWABLE COSTS

A. For performance of this Subagreement, MSU shall reimburse the LEAD INSTITUTION for allowable costs that are reasonable, allocable and allowable in accordance with the terms of (1) this Subagreement, (2) OMB Circular A-21, “Cost Principles for Educational Institutions” in effect on the date of this Subagreement and all subsequent revisions, http://www.whitehouse.gov/omb/circulars/a021/a021.html, (3) OMB Circular A-110, “Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations” in effect on the date of this Subagreement and all subsequent revisions, http://www.whitehouse.gov/omb/circulars/a110/a110.html, (4) 22 CFR226 in effect on the date of this Subagreement and all subsequent revisions, http://www.usaid.gov/pubs/ads/22cfr228.doc.

B. Funds budgeted for equipment may not be expended without the prior written approval of the MO (See Appendix I for a Request to Purchase Equipment Form). Note that to be classified as equipment, individual items must have a useful life of more than one year and cost $5,000 or more per item.

C. Funds budgeted for expenditures in or on behalf of a Host Country Institution may not be rebudgeted to the LEAD INSTITUTION or to another Host Country Institution without the prior approval of the MO.

D. Funds budgeted for training may not be rebudgeted without the prior written approval of the MO.

E. Except for B, C, and D above, line items within the total approved budget may be adjusted, as reasonable and necessary, without the prior approval of MSU and the MO.

F. When approved by the MO, amounts unexpended at the end of the budget year may be carried forward to the subsequent budget year within the period of performance of this Subagreement for expenditure on activities consistent with the approved workplan for that period.

G. Indirect costs are allowable according to LEAD INSTITUTION’S Negotiated Indirect Cost Rate Agreement (NICRA).

H. Costs must be incurred in accordance with LEAD INSTITUTION’S established policies and procedures provided such policies and procedures promote the best interest of the project conducted under this Subagreement.

I. Only those expenses incurred in accordance to the budget and during the period of the Subagreement may be reimbursed.

J. Upon request by MSU, the LEAD INSTITUTION shall refund any amounts determined to be unallowable expenditures as a result of an audit by MSU or the Federal Government. The LEAD INSTITUTION, however, shall have the right to establish allowability of any such item of cost under this Subagreement.

VI – PAYMENT

The LEAD INSTITUTION must submit invoices for reimbursement at least quarterly but no more than monthly. Invoices shall indicate the period covered and provide detail commensurate with that appearing
in the LEAD INSTITUTION’S budget. The invoices must be supported by an original and two copies of a certified expense report in accordance with Appendix G. The invoices must be in English, shall be numbered sequentially, shall reference Subagreement 61-XXXX, and shall be certified correct by the responsible financial official of the LEAD INSTITUTION. Invoices will not be paid unless accompanied by an expense report.

A FINAL invoice and expense report shall be submitted within forty five (45) days after the end of the period of the Subagreement indicated in ARTICLE III and it shall be marked “FINAL.” The FINAL invoice shall be used as the final report of expenditures for the LEAD INSTITUTION and it shall contain a summary of expenses, by budget category itemized in Appendix D and the final amount of Cost Share reported. In no event shall the final billing of funds exceed the Subagreement amount specified in Article IV - AMOUNT OF SUBAGREEMENT.

Invoices and expense reports shall be submitted to:

Mr. Ben Hassankhani
Institute of International Agriculture
Dry Grain Pulses CRSP
321 Agriculture Hall
Michigan State University
East Lansing, MI 48824
USA
E-mail: hassankh@msu.edu

VII – COST SHARING

The LEAD INSTITUTION, for each year of performance, shall assure that expenditures from non-Federal funds equal or exceed 25 percent of the Federal funds provided by MSU/USAID. These expenditures will exclude obligations made to or on behalf of Host Country Institutions under Subagreements in furtherance of grant objectives. Prior and subsequent year's non-Federal contributions in excess of the aforesaid 25 percent, if any, may be applied to compensate for any year's shortfall.

Cost sharing will be in accordance with OMB Circular A-110 (as periodically updated), Subpart C, Section .23, [http://www.whitehouse.gov/omb/circulars/a110/a110.html](http://www.whitehouse.gov/omb/circulars/a110/a110.html)

VIII – WORK PLANS AND TECHNICAL REPORTS

The LEAD INSTITUTION shall prepare and submit Workplans and technical reports to the CRSP MO in such form and reasonable detail as prescribed by the CRSP MO and the prime award.

A. WORKPLANS shall be in accord with instructions from the CRSP MO.

B. INTERIM REPORTS (which include Report on the Achievement of Semi-Annual Indicators of Progress, and Performance Indicators for Foreign Assistance Framework (FAF) and the Initiative to End Hunger in Africa (IEHA), and Annual Technical Progress Reports) under this Subagreement shall be in accord with instructions from the CRSP MO.

C. FINAL REPORTS under this Subagreement shall be in accord with instructions from the CRSP MO and will be submitted to the MO within 45 days following the end of the period of performance of this Subagreement.

Work plans and technical reports shall be submitted to:

Dr. Irvin Widders
Institute of International Agriculture
Dry Grain Pulses CRSP
IX - SUBORDINATE AGREEMENTS

The LEAD INSTITUTION'S intention to enter into a subordinate agreement (either with a U.S. or a non-U.S. institution) for any of the work to be performed under this Subagreement must be identified in the LEAD INSTITUTION’S detailed annual project workplan (Appendix C) and the detailed project budget which require MO approval (Appendix D). Any deviation from this condition requires the prior written approval of the MO.

All subordinate agreements with a Host Country institution/s MUST be in the form of a “Fixed Price Contract” that have the following required sections:

a) Frequency of payments: payments corresponding to predetermined deliverables.
b) Amount of each incremental payment (first payment MUST not be less than 50%)
c) Dates of payments
d) Deliverables to release the first and subsequent payments (workplan, and two “Report on the Achievement of Semi-Annual Indicators of Progress”)

A fully signed copy of any “Fixed Price Contract” under this Subagreement must be provided to the MO within 30 days of the start date of such a contract.

For those LEAD INSTITUTIONS which have requested MSU’s administration/management of the Fixed Price Contract(s) with their collaborating Host Country Institution(s) per the Technical Application (Appendix B), the lead U.S. PI will still have full responsibility for the implementation of the technical aspects of the project. This includes collaboration on research, outreach and training activities in achievement of established project objectives and benchmarks, communicating to Host Country institutions expectations of deliverables, review of deliverables (e.g., Appendix J) to ensure satisfactory progress, and providing the MO with the necessary documentation to authorize payments to Host Country institution(s).

The LEAD INSTITUTION will make certain that any subordinate agreement that it may enter into for the performance of any part of this Subagreement will include the same terms and conditions regarding financial, property and operational reporting requirements as those to which the LEAD INSTITUTION is subject under the terms and conditions of this Subagreement. No subordinate agreement entered into by the LEAD INSTITUTION can release it from any obligation, responsibility or liability to MSU under this Subagreement.

X - AUTHORIZED GEOGRAPHIC CODES

The authorized geographic code for procurement of goods and services under this Subagreement is Code 000 (United States).

XI - TRAVEL

Travel must make use of US carriers as indicated in the Standard Provisions attached hereto.

International Travel Notification Forms (Appendix H) must be submitted to the Management Office a minimum of twenty one (21) days prior to the departure date.

XII - AUDIT REPORTS

MSU and its authorized representative(s) may audit the invoices or vouchers. Each payment shall be subject to reduction and refund to MSU for amounts included in the related invoices or vouchers, which are found, on the basis of such audit, to constitute unallowable costs.

If any audit of the LEAD INSTITUTION'S records reveals that the LEAD INSTITUTION has not met its cost-sharing obligations with non-Federal funds under this Subagreement, MSU is authorized to request
refund of a proportionate amount of expenditures.

The LEAD INSTITUTION agrees to comply with the requirements of OMB Circular A-133, Audits of Institutions of Higher Education and Other Nonprofit Institutions in effect on the date of this Subagreement and all subsequent revisions, http://www.whitehouse.gov/omb/circulars/a133/a133.html. The LEAD INSTITUTION further agrees to provide MSU with copies of any of the independent auditor’s reports, which present instances of non-compliance with federal laws and regulations, which bear directly on the performance, or administration of this Agreement. In cases of such non-compliance, the LEAD INSTITUTION will provide copies of responses to auditors’ reports and a plan for corrective action. All records and reports prepared in accord with the requirements of OMB Circular A-133 as appropriate shall be available for inspection by representatives of MSU, USAID or the U.S. Federal Government during normal business hours.

XIII - RECORDS

The LEAD INSTITUTION will maintain adequate financial records, in accordance with generally accepted accounting practices to clearly and easily identify expenses of the Subagreement, to describe the nature of each expense and to establish relatedness to this Subagreement. All records, books, documents and papers related to the project conducted under this Subagreement shall be available upon request at all reasonable times to inspection and audit by MSU, U.S. Agency for International Development, and by the National Science Foundation (MSU’s cognizant Federal audit agency inspection or their authorized representatives). These records will be retained for a period of three (3) years, with the following qualifications:

A. If any litigation, claim, negotiation, audit or other action involving the records has been started before the end of the 3-year period, the records shall be kept until all issues are resolved, or until the end of the regular 3-year period, whichever is later.

B. The retention period starts from the date of the submission of the LEAD INSTITUTION’S final invoice.

XIV - TERMINATION AND SUSPENSION

A. Termination for Cause - This Subagreement may be terminated in whole or in part at any time before the date of completion, whenever it is determined that the LEAD INSTITUTION has failed to comply with the conditions of the Subagreement. MSU shall promptly notify the recipient in writing of the determination and reasons for the termination, together with the effective date. Payments made to the LEAD INSTITUTION or recoveries by the Federal sponsoring agency under grants or other Subagreements terminated for cause shall be in accordance with the legal rights and liabilities of the parties.

B. Termination for Convenience - This Subagreement may be terminated in whole or in part when the continuation of the project would not produce beneficial results commensurate with the further expenditure of funds. The two parties shall agree upon the termination conditions, including the effective date and, in the case of partial terminations, the portion to be terminated. The LEAD INSTITUTION shall not incur new obligations for the terminated portion after the effective date, and shall cancel as many outstanding obligations as possible.

C. Termination or Suspension for Changed Circumstances. If at any time USAID or MSU determines that continuation of all or part of the funding for a project should be suspended or terminated because such assistance would not be in the national interest of the United States or would be in violation of an applicable law, then MSU, may, following notice to the LEAD INSTITUTION, suspend or terminate this Subagreement in whole or part and prohibit LEAD INSTITUTION from incurring additional obligations chargeable to this Subagreement other than those costs specified in the notice of suspension during the period of suspension. If the situation
causing the suspension continues for sixty (60) days or more, then MSU may terminate this grant on written notice to the LEAD INSTITUTION and cancel the portion of this Subagreement which has not been disbursed or irrevocably committed to the LEAD INSTITUTION.

D. Termination Procedures. Upon receipt of and in accordance with a termination notice as specified in A. or B. above, the LEAD INSTITUTION shall take immediate action to minimize all expenditures and obligations financed by this Subagreement and shall cancel such unliquidated obligations whenever possible. Except as provided below, no further reimbursement shall be made after the effective date of termination. The LEAD INSTITUTION shall within thirty (30) calendar days after the effective date of such termination repay to MSU all unexpended funds which are not otherwise obligated by a legally binding transaction applicable to this Subagreement. Should the funds paid by MSU to the LEAD INSTITUTION prior to the effective date of the termination of this Subagreement be insufficient to cover the LEAD INSTITUTION’S obligations in the legally binding transaction, the LEAD INSTITUTION may submit to MSU within sixty (60) calendar days after the effective date of such termination a written claim covering such obligations. The MSU grant officer shall determine the amount(s) to be paid by MSU to the LEAD INSTITUTION under such claim in accordance with the applicable cost principles.

XV – DISPUTES

Conflicts between any of the Appendices of this Subagreement shall be resolved by applying the following descending order of precedence:

This Subagreement
Appendix B – Project Description

Except as otherwise provided in this Subagreement, all claims, counter-claims, disputes and other matters in question between MSU and the LEAD INSTITUTION arising out of or relating to this Subagreement or the breach thereof may be decided by arbitration if the parties hereto mutually agree, or in a court of competent jurisdiction.

XVI – LIABILITY

Each party to this Subagreement must seek its own legal representative and bear its own costs, including judgments, in any litigation that may arise from performance of this Subagreement. It is specifically understood and agreed that neither party will indemnify the other party in such litigation.

XVII - ASSURANCES

Debarment and Suspension. LEAD INSTITUTION certifies that neither it nor its principles are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any US Federal department or agency. By signing this Subagreement, the LEAD INSTITUTION makes this certification.

Lobbying. LEAD INSTITUTION agrees to comply with the requirements of OMB Circular A-21, Principles For Determining Cost Applicable to Grants, Contracts, and Other Agreements with Educational Institutions, regarding lobbying. By signing this Subagreement, the LEAD INSTITUTION makes this certification.

Delinquent Federal Debt. LEAD INSTITUTION certifies that it is not delinquent on the repayment of any U.S. Federal debt.

Drug-Free Workplace. LEAD INSTITUTION certifies that it will provide a drug-free workplace.

Clean Air Act and the Federal Water Pollution Control Act. LEAD INSTITUTION agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401 et seq.) and the Federal Water Pollution Control Act (33 U.S.C. 1251 et seq.), as amended. Violations shall be
reported to MSU, USAID and the Regional Office of the Environmental Protection Agency (EPA).

**XVIII - INDEMNIFICATION**

The LEAD INSTITUTION shall, to the extent of its liabilities under the laws of the state of Michigan, indemnify, defend and hold harmless MSU for any and all loss, damage, claims, actions and suits whatsoever including all costs, expenses, and attorney’s fees incurred by the LEAD INSTITUTION in connection therewith that arises out of the LEAD INSTITUTION’S negligence or other legal wrong-doing in any way connected with activities under this Subagreement. The LEAD INSTITUTION agrees to give MSU immediate notice of any claim, action or suit in any way connected with activities under this Subagreement.

**XIX - AMENDMENTS**

All mutually agreed upon changes to this Subagreement must be processed through the MSU Office of Contract and Grant Administration at the following address:

Ms. Diane Cox  
Contract and Grant Administrator  
Michigan State University  
Contract and Grant Administration  
Room 301 Administration Bldg.  
East Lansing, Michigan 48824  
Telephone: 517-355-5040 x 243  
Fax: 517-432-8035  
coxd@cga.msu.edu

**XX – TITLE TO PROPERTY**

Title to property including equipment, acquired hereunder shall vest in the LEAD INSTITUTION, subject to the requirements of 22 CFR Part 226, http://www.usaid.gov/pubs/ads/22cfr226.doc, regarding the use, accountability, and disposition of such property.

Purchase of equipment and vehicles (vehicle is defined as an item having a motor, seat(s) and wheels) requires prior approval of the MO. See Appendix I for a Request to Purchase Equipment form.

**XXI – PATENTS AND INVENTIONS**

The Department of Commerce regulations entitled “Rights in Inventions Made by Nonprofit Organizations and Small Business Firms” set forth in 37 CFR Part 401 and CIB 99-19 shall govern rights, title, disclosure, filings, etc., of any invention resulting from the work performed by the LEAD INSTITUTION hereunder. The LEAD INSTITUTION agrees to comply with and to be bound by the terms and conditions of these patent regulations.

If necessary, a separate Research Agreement may be negotiated between MSU and the LEAD INSTITUTION.

**XXII. CARE OF LABORATORY ANIMALS**

If the Standard Provision entitled “Care of Laboratory Animals” (Appendix A) applies to this Subagreement, LEAD INSTITUTION shall include the certificate required by paragraph (c) of said Standard Provision in all of its reports which pertain to the use of laboratory animals.

**XXIII. USE OF HUMAN SUBJECTS**

If the Standard Provision entitled “Protection of the Individual as a Research Subject” applies to this Subagreement (see Section 7, Required as Applicable Standard Provisions for U.S. Nongovernmental
Recipients, included as Appendix A), the LEAD INSTITUTION shall provide written assurance that it will abide by this policy for all research involving human subjects supported by MSU and USAID. The LEAD INSTITUTION will submit this written assurance with the Grain Pulse CRSP Expense Reporting Form for the period ending September 30 for each year of this project.

XXIV - TRAINING

Participant training under this Subagreement is to be conducted according to Article 5 of the Required Applicable Standard Provisions for U.S., Nongovernmental Recipients attached hereto as Appendix A. Participant Training under this award shall comply with the policies established in ADS 253, “Participant Training.”

The PI must provide the MO with a yearly summary of all training activities as per the instructions by CRSP MO.

XXV – PUBLICATIONS

Provided that any publication is first offered to Michigan State University, LEAD INSTITUTION shall have the unrestricted right of publication with reference to its activities and findings in connection with the program. USAID and MSU retain a royalty-free-non-exclusive and irrevocable right to reproduce, publish, translate or otherwise use, and to authorize others to use such material for internal, non-commercial research purposes.

LEAD INSTITUTION will ensure that the terms of this Agreement are agreed to by all persons who perform any part of the work under this Agreement and who may be reasonably expected to develop intellectual property.

LEAD INSTITUTION will ensure that all such parties waive any rights to block release, dissemination, or publication of any results from the project.

The LEAD INSTITUTION will supply MSU with three hard copies plus an electronic copy if available of each publication funded in part or whole, from this project.

The LEAD INSTITUTION hereby agrees to comply with the AAPD 05-11 "MARKING UNDER ASSISTANCE INSTRUMENT". For a complete review of this policy please visit: http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf and the attached Appendix F (Marking and Branding Plan for the Dry Grain Pulses CRSP).

XXVI – ANTI-TERRORISM

LEAD INSTITUTION is reminded that U.S. Executive Orders and U.S. Law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the LEAD INSTITUTION to ensure compliance with these Executive Orders and laws. This provision must be included in all Lower tier Subagreements issued under this Subagreement. A list of individual and organizational names that are the subject of this Executive Order can be found at the web site of the Office of Foreign Assets Control (OFAC) within the U.S. Department of Treasury. The address for this web site is http://treasury.gov/ofac

XXVII - PARTIAL INVALIDITY

If any provision of this Subagreement or the application thereof to any person or circumstance, shall to any extent be invalid or unenforceable, the remainder of the Subagreement or the application of such provision to persons or circumstances other than those to which it is invalid or unenforceable shall be unaffected thereby and each provision of the Subagreement shall be valid and enforceable to the fullest extent permitted by law.

XXVIII - COMPLIANCE WITH LAWS
The LEAD INSTITUTION agrees to comply with all laws, statues, regulations, rulings or enactments of any Governmental authority that are applicable to the work described in Appendix C of this Subagreement or which in any way pertain to said work.

XXIX - KEY PERSONNEL

The Principal Investigator of this project is Name from the LEAD INSTITUTION. The Principal Investigator for MSU is Dr. Irvin Widders. The Principal Investigators are not authorized to change any element of this Subagreement. All changes shall be consummated by formal written amendment and processed according to Article XIX.

If Name ceases to serve as Principal Investigator of this project, the decision as to continuance of this Subagreement will be made by MSU on the basis of information supplied by the LEAD INSTITUTION.

XXX - ENVIRONMENTAL IMPACT REPORTS

If it appears that outputs of this project will result in an adverse environmental impact, the LEAD INSTITUTION shall notify MSU prior to implementation, in order to allow for orderly preparation of an environmental impact statement. The LEAD INSTITUTION shall assure that appropriate U.S. Government, USAID, and/or host country procedures are followed.

XXXI – FORCE MAJEURE

Should the LEAD INSTITUTION be delayed or prevented, in whole or in part, from performing any obligations or conditions hereunder or from exercising its rights by reason of or as a result of any Force Majeure, the LEAD INSTITUTION shall be excused from such obligations or conditions and the term of this Subagreement shall be extended at no additional cost to ME and continued while the LEAD INSTITUTION is so delayed or prevented. The term “Force Majeure” as used herein means acts of God, strikes, lockouts, or other industrial disturbances; act of public enemies, blockades, wars, insurrections, or riots; epidemics, landslides, earthquakes, fires; storms droughts; floods or washouts; arrest, title disputes, or other litigation; governmental restraint, either state, civil or military, civil disturbances; explosions, inability to obtain necessary materials, supplies, labor, or permits due to existing or future rules, regulations, orders, laws, or proclamations, either state, civil, or military; and other causes beyond the reasonable control of the party so delayed.

LEAD INSTITUTION will use its best efforts to avoid the cause(s) of such delay, shall give written notice of any such delay to MSU as soon as practicable, and shall resume its performance promptly after the removal or cessation of the cause(s) of delay. In the event that excusable delay shall continue for a period of more than three (3) consecutive months, then either party may at anytime after that period terminate this agreement upon written notice to the other party while the cause(s) of delay continue.

XXXII - ENTIRE SUBAGREEMENT

It is expressly agreed by the parties hereto that for the work hereunder, this Subagreement constitutes the entire and only Subagreement between the parties.

XXXIII - ALTERATIONS TO STANDARD PROVISIONS, APPENDIX A

It is understood and agreed that as used in these standard provisions,

- References to “grant” shall mean this “Subagreement.”
- References to “grantee” shall mean “LEAD INSTITUTION.”
- References to “USAID,” “Government” or “U.S. Treasury” shall mean MSU.
IN WITNESS THEREOF, MSU and XXXXXXX have executed this Subagreement.

MICHIcAN STATE UNIVERSITY

__________________________________________  _______________________________________
Authorized Signature                        Authorized Signature

Evonne Pedawi
Senior Contract & Grant Administrator

__________________________________________  _______________________________________  
Typed Name and Title                         Date

Date
## APPENDIX B

**Example of Schedule of Payments for Fixed Price Agreements between MSU and a Host Country Institution for Phase I and Phase II & III**

<table>
<thead>
<tr>
<th>Phase</th>
<th>Workplan</th>
<th>Contractual Amount</th>
<th>Deliverables</th>
<th>Due date for Deliverable</th>
<th>Payment Amount</th>
<th>Schedule of Payment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Phase I</strong>&lt;br&gt;FY 08-09 (Apr 1, 2008 – Sep 30, 2009)</td>
<td>Total budget for that HC for FY 08-09</td>
<td>Approved Workplan for FY 08-09</td>
<td>March 4, 2008</td>
<td>50% of total contractual amount for FY 08-09</td>
<td>~April 1, 2008</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Semi-Annual Report on Indicators of progress</td>
<td>October 1, 2008</td>
<td>25% of total contractual amount for FY 08-09</td>
<td>~October 15, 2008</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Semi-Annual Report on Indicators of progress</td>
<td>April 1, 2009</td>
<td>25% of total contractual amount for FY 08-09</td>
<td>~April 15, 2009</td>
</tr>
<tr>
<td><strong>Phase II &amp; III</strong>&lt;br&gt;FY 10 (Oct 1, 2009 – Sep 30, 2010)</td>
<td>Total budget for that HC for FY 10</td>
<td>Approved Workplan for FY 10</td>
<td>July 15, 2009</td>
<td>50% of total contractual amount for FY 10</td>
<td>~ October 5, 2009</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Semi-Annual Report on Indicators of progress</td>
<td>October 1, 2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Semi-Annual Report on Indicators of progress</td>
<td>April 1, 2010</td>
<td>25% of total contractual amount for FY 10</td>
<td>~April 15, 2010</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Final Semi-Annual Report on Indicators of progress for Phase I</td>
<td>October 1, 2010</td>
<td>25% of total contractual amount for FY 10</td>
<td>~October 5, 2010</td>
</tr>
<tr>
<td>FY 11 (Oct 1, 2010 – Sep 30, 2011)</td>
<td>Total budget for that HC for FY 11</td>
<td>Approved Workplan for FY 11</td>
<td>August 15, 2010</td>
<td>50% of total contractual amount for FY 11</td>
<td>~October 5, 2010</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Semi-Annual Report on Indicators of progress</td>
<td>April 1, 2011</td>
<td>50% of total contractual amount for FY 11</td>
<td>~April 15, 2011</td>
</tr>
<tr>
<td>FY 12 (Oct 1, 2011 – Sep 29, 2012)</td>
<td>Total budget for that HC for FY 12</td>
<td>Approved Workplan for FY 12</td>
<td>July 15, 2011</td>
<td>50% of total contractual amount for FY 12</td>
<td>~October 5, 2011</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Semi-Annual Report on Indicators of progress</td>
<td>October 1, 2011</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Semi-Annual Report on Indicators of progress</td>
<td>April 1, 2012</td>
<td>25% of total contractual amount for FY 12</td>
<td>~April 15, 2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Final Semi-Annual Report on Indicators of progress for Phase II</td>
<td>October 1, 2012</td>
<td>25% of total contractual amount for FY 12</td>
<td>~October 5, 2012</td>
</tr>
</tbody>
</table>
APPENDIX C

DRY GRAIN PULSES CRSP WORKPLAN FORMAT
(Obligation Period)

Project Title:

Lead U.S. Principal Investigator and University:

Collaborating Host Country and U.S. PIs and Institutions:

I. Project Problem Statement and Justification: (Please describe constraint to be addressed, its importance, and status of research progress to date) Maximum 4000 characters

II. Planned Project Activities in the Workplan Period

Objective 1:
(A brief one-line statement of a specific research or institutional capacity building objective to be achieved by the project during the 30 month funding period. These should be consistent with the objectives identified in the Technical Application. Each project will likely have multiple objectives including an objective to achieve Theme 4; “To increase the capacity, effectiveness and sustainability of agriculture research institutions which serve the bean and cowpea sectors and developing countries.”

Under each objective, information is to be provided specific for the obligation period corresponding to that of the workplan regarding the following: Collaborators, Approaches and Methods)

Collaborators:
(A “Collaborator” is a scientist or an institutional partner which will contribute to the achievement of specific research objective in a Workplan. U.S. and Host Country Principal Investigators for a project should not be listed as Collaborators. Collaborators for a given objective may include PIs from other Pulse CRSP projects, colleagues from the same department/institution (as the PI), researchers from non-CRSP institutions such as IARCs, NGOs, private industry, government organizations, etc. in either developing countries or the U.S.)

Approaches and Methods:
(Describe the research, outreach and/or institutional capacity building approaches and methodologies to be used to achieve the specific objective during the 18 month period of the workplan. Sufficient detail must be provided to enable assessment of the PIs’ adherence to high scientific standards for research, outreach and/or training, and the utilization of effective and appropriate approaches and methods with a high likelihood of success under the conditions in which the activity will be carried out. It is important to identify the division of responsibilities among U.S. and Host Country collaborators within this section. This division of responsibility should be the basis for determining budgetary allocations, for tasking the implementation of activities associated with the objective, and for assigning reporting responsibilities on indicators and benchmarks at critical times during the period of the Workplan.)

Objective 2:
Collaborators:
Approaches and Methods:

Objective 3...:
Collaborators:
Approaches and Methods:
Objective: (The final objective should be to increase the capacity, effectiveness and sustainability of agriculture research institutions which serve the bean and cowpea sectors in developing countries. Specific plans and detailed information on degree training, short-term training, and investments in equipments planned during the workplan period must be provided by completing the separate section on "Workplan for training/capacity building." However, under this objective, please summarize the capacity building activities planned in the workplan period by providing the list of degree trainees (their names, citizenship, degree program and training location) and short-term training activities (a brief description and information on when/where this activity will take place). Also describe your plans (if any) for investment in equipment to improve institutional capacity).

III. Contribution of Project to Target USAID Performance Indicators:
(Complete the "Performance Indicators – Targets for Workplans" form for the project for the workplan period and upload that file in section VIII. Here provide a brief description of how the planned activities will contribute to the target USAID performance indicators)

IV. Target Outputs:
(Identify specific outputs to result from this project by the end of 30 months (September 30, 2010) that are expected to lead to developmental outcomes)

V. Engagement of USAID Field Mission(s)
(Identify specific activities to be carried out during workplan period to engage USAID country or field missions so as to inform them of Pulse CRSP activities and to position project in HC or other developing countries for Associate Awards)

VI. Networking Activities with Stakeholders:
(Identify planned networking activities with public and private stakeholder groups to ensure widespread promotion and dissemination of outputs in Host Countries)

VII. Leveraging of CRSP Resources:
(Identify existing or future opportunities to be pursued to leverage additional resources for planned Pulse CRSP research, training and outreach activities)

VIII. Contribution of Project to Target USAID Performance Indicators:
(Complete the "Performance Indicators – Targets for Workplans" form for the project for the workplan period and upload the file in CORS)

IX. Project Benchmarks (semi-annual indicators of progress):
(Complete the "SEMI-ANNUAL INDICATORS OF PROGRESS BY INSTITUTIONS AND TIME PERIOD" form for the workplan period and upload the file in CORS. These indicators of progress should be viewed as specific "benchmarks" toward achievement of research, outreach and institutional capacity building objectives by the project. Since the benchmarks/indicators of progress will be used both for reporting purposes to USAID and for assessment of the effectiveness of projects in achieving objectives outlined in the workplan, it is important that the benchmarks be specific (in terms of its size/scale/scope and target location), quantitative (to the extent possible), and logistically feasible)
Training/Capacity Building Workplan Format

**Degree Training:**
- First and Other Given Names
- Last Name
- Citizenship
- Gender
- Training Institution
- Supervising CRSP PI
- Degree Program for training
- Program Areas or Discipline
- If enrolled at a US university, will Trainee be a “Participant Trainee” as defined by USAID?
- Host Country Institution to Benefit from Training
- Thesis Title/Research Area
- Start Date
- Projected Completion Date
- Training status (Active, completed, pending, discontinued or delayed)
- Type of CRSP Support (full, partial or indirect) for training activity

**Short-term Training:**
- Type of training
- Description of training activity
- Location
- Duration
- When will it occur?
- Participants/Beneficiaries of Training Activity
- Anticipated numbers of Beneficiaries (male and female)
- PI/Collaborator responsible for this training activity
- List other funding sources that will be sought (if any)
- Training justification

**Equipment** (costing >$5,000):
- Specific Type of Equipment to be purchased
- Justification for equipment to achieve workplan objectives
- Institution to benefit from equipment
- Institution to purchase equipment
- Amount budgeted for equipment item
APPENDIX D

SEMI-ANNUAL INDICATORS OF PROGRESS – EXAMPLE OF A WORKPLAN FORM FOR OBLIGATION PERIOD 4/1/08 to 9/30/09

Dry Grain Pulses CRSP
Research, Training and Outreach Workplans
April 1, 2008 – September 30, 2009

SEMI-ANNUAL INDICATORS OF PROGRESS BY INSTITUTIONS AND TIME PERIOD

Project Title: ____________________________

<table>
<thead>
<tr>
<th>Identify Benchmark Indicators by Objectives</th>
<th>10/1/08</th>
<th>4/1/09</th>
<th>4/1/09</th>
<th>10/1/09</th>
<th>10/1/09</th>
<th>4/1/09</th>
<th>10/1/09</th>
<th>10/1/09</th>
<th>4/1/09</th>
<th>10/1/09</th>
</tr>
</thead>
</table>

(Tick mark the time period for achieving identified benchmarks by institution)

Objective 1

| | | | | | | | | | | |
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Objective 2

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Objective 3

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Objective 4

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| | | | | | | | | | |
| | | | | | | | | | |

Name of the PI responsible for reporting on benchmarks

Signature/Initials: ____________________________

Date: ____________________________
APPENDIX E

PERFORMANCE INDICATORS FOR FOREIGN ASSISTANCE FRAMEWORK (FAF) AND THE INITIATIVE TO END HUNGER IN AFRICA (IEHA) (FORM)

Dry Grain Pulses CRSP
Research, Training and Outreach Workplans
(April 1, 2008 -- September 30, 2009)

PERFORMANCE INDICATORS
for Foreign Assistance Framework and the Initiative to End Hunger in Africa (IEHA)

Project Title:
Lead U.S. PI and University:
Host Country(s):

<table>
<thead>
<tr>
<th>Output Indicators</th>
<th>2008 Target</th>
<th>2008 Actual</th>
<th>2009 Target</th>
<th>2009 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Degree Training: Number of individuals who have received degree training</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of women</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of men</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Short-term Training: Number of individuals who have received short-term training</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of women</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of men</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technologies and Policies</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of technologies and management practices under research</td>
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<td>Number of technologies and management practices under field testing</td>
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<td>Number of technologies and management practices made available for transfer</td>
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<td>Number of policy studies undertaken</td>
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<td>Beneficiaries:</td>
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<td>Number of rural households benefiting directly</td>
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<tr>
<td>Number of agricultural firms/enterprises benefiting</td>
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<tr>
<td>Number of producer and/or community-based organizations receiving technical assistance</td>
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<tr>
<td>Number of women organizations receiving technical assistance</td>
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<tr>
<td>Number of HC partner organizations/institutions benefiting</td>
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<td>Developmental outcomes:</td>
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<td>Number of additional hectares under improved technologies or management practices</td>
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APPENDIX F

FORMAT FOR REPORTING “SEMI-ANNUAL INDICATORS OF PROGRESS”—EXAMPLE FOR THE FIRST REPORTING PERIOD (10/1/08)

Dry Grain Pulses CRSP
Report on the Achievement of “Semi-Annual Indicators of Progress”
(For the Period: April 1, 2008 – September 30, 2008)

This form should be completed by the U.S. Lead PI and submitted to the MO by October 1, 2008

Project Title:

<table>
<thead>
<tr>
<th>Abbreviated name of institutions</th>
<th>Target 10/1/08</th>
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<th>Target 10/1/08</th>
<th>Achieved</th>
<th>Target 10/1/08</th>
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(Tick mark the Yes or No column for identified benchmarks by institution)

Name of the PI reporting on benchmarks by institution

Name of the U.S. Lead PI submitting this Report to the MO

Signature  Date

* Please provide an explanation for not achieving the benchmark indicators on a separate sheet.
APPENDIX G

ANNUAL TECHNICAL PROGRESS REPORT (FORMAT)

(Obligation Period)

Project Title:

Lead U.S. Principal Investigator and University:

Collaborating Host Country and U.S. PIs and Institutions:

I. Abstract of research achievements and impacts (A narrative of technical progress, research achievements and impacts—2500 character limit)

II. Project Problem Statement and Justification (Addition or revision to the information provided in the Workplan on the constraint addressed and the importance of this research—4000 character limit)

III. Results, Achievements and Outputs of Research (Description of the approach/method, results and outputs achieved under this project for each Objective planned in the Workplan. PIs need to present specific information so readers can relate the results and outputs to the Semi-Annual Indicators of Progress and Target Outputs from the Workplan. If research activities were not completed and there are no results to report, please indicate so under each Objective and provide a detailed explanation in the field below “Explanation for changes”)

Objective 1:

Objective 2:

Objective 3:

Objective ___ (Capacity Building): [Identify degree trainees (include name, type of degree, training location) supported by this project during the reporting year, list short-term training activities completed during the reporting year (include the title and location), and provide a list of equipments (costing > $5000) purchased for HCs. More details on these completed capacity building activities should be provided by completing the “Training and Capacity Building Progress Report”]

IV. Explanation for Changes (Comments on justification for changes or inability to complete activities in the annual workplan. Note: This field is for evaluative purposes only and will not be printed in final reports posted on the Pulse CRSP website)

V. Networking and Linkages with Stakeholders (Including visits to USAID Missions, site visits, joint activities, exchange of information, germplasm, etc. completed in the reporting period)

VI. Leveraged Funds (Following information for each leveraged project under this research Activity)

Name of PI receiving leveraged funds:
Description of leveraged project:
Dollar Amount:
Funding Source:
VII. List of Scholarly Activities and Accomplishments (Publications, Thesis/Dissertations completed, Professional Recognition, Awards, Patents and Plant Variety Protection Certificates Received by PIs/Collaborators in the Reporting Year)

VIII. Tables/Figures Cited in the Report

IX. Literature Cited (please provide complete references of all the literature cited in the body of the report)

X. Contribution of Project to Target USAID Performance Indicators (Give a narrative of the report you have submitted in the “PERFORMANCE INDICATORS FOR FOREIGN ASSISTANCE FRAMEWORK (FAF) AND THE INITIATIVE TO END HUNGER IN AFRICA (IEHA)” corresponding to this reporting year. Provide a brief assessment of indicators achieved and/or explanations on why they were not achieved)

XI. Contribution to Gender Equity Goal (Describe how the progress of project activities reported in this Annual Report contributes towards the gender equity goals set in your project proposal)

XII. Progress Report on Activities Funded Through Supplemental Funds (List any research, training and capacity building activities funded through supplemental funds and provide an update on progress towards achievement of their objectives. Type “not applicable” if your project did not receive any supplemental funds in the reporting year)
# APPENDIX H

## ANNUAL BUDGET SPREADSHEET TEMPLATES

### Dry Grain Pulses CRSP

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>U.S. Institution</th>
<th>U.S. for Host Country</th>
<th>HC or U.S. Institution (1)</th>
<th>HC or U.S. Institution (2)</th>
<th>HC or U.S. Institution (3)</th>
<th>HC or U.S. Institution (4)</th>
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<tbody>
<tr>
<td><strong>Institution Name</strong></td>
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<td>e. Training</td>
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<td>Non-Degree</td>
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<td>f. Other</td>
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**Total direct cost budgeted for U.S. institution(s):** #DIV/0!

**Total direct cost budgeted for H.C institution(s):** #DIV/0!

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<th>HC or U.S. Institution (2)</th>
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**Name of PI & Institutional Affiliation:**

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63
## APPENDIX I

### EXPENSE REPORT TEMPLATE

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<th>Reported expenditures U.S for Host Country</th>
<th>Reported expenditures U.S</th>
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U.S. Principal investigator: ___________________________ Date: ________________

Authorized Contracts and Grants Officer: ___________________________ Date: ________________
APPENDIX J

INTELLECTUAL PROPERTY DEFINITIONS AND PRINCIPLES

DEFINITIONS:

Intellectual Property (IP): Any new and useful process, composition of matter, life form, article of manufacture, software, copyrightable work, or tangible property including genetically engineered biological organisms, chemical compounds, data sets, or unique and innovative uses of existing inventions that may or may not be patentable or copyrightable. It is created when something new and useful has been conceived or developed, or when unusual, unexpected, or non-obvious results obtained with an existing Invention can be practiced for some useful purpose. It can be created by one or more individuals each of whom to be a creator must have conceived of an essential element or have contributed substantially to its conceptual development.

Invention: A new, original and useful form or item of Intellectual Property.

Invention Disclosure (ID): The act and mechanism for the disclosure of a potential new invention to an administrative body (i.e., the intellectual property office of a university, the Bean/Cowpea CRSP MO, etc.). ID is the first formal step in the documentation of the discovery of a potential new invention. An ID document outlines the objectives of an invention, describes its uniqueness and advantages over previous technologies or processes, provides a detailed description of the invention, gives the current stage of development of the invention, identifies the funding source(s) for the development of the invention and identifies the inventors or creators.

License Agreement (LA): A revocable privilege that gives the Licensee (a recipient of a technology or creation) the right to commercialize the technology or creation and not to be sued by the Licensor for said commercialization. A LA specifies the terms and conditions for both parties for the long-term use and commercialization of a technology, including the period of time, extent of monetary compensation and royalties, and the need for record keeping.

Material Transfer Agreement (MTA): A mutually acceptable agreement of terms by both parties for the handling, use, commercialization and liabilities related to said use of a proprietary technology. A common use of MTAs is to establish the short-term use of molecular technologies in genetic engineering research when very little or no revenue is required for such use. Alternatively, commercialization usually requires the execution of a License Agreement. The MTA or an attachment to the MTA (i.e., letter) will define the conditions for the transfer of a technology.

Plant Variety Protection (PVP) (or Plant Breeders Rights): A mechanism for legal governmental protection through the certification of novel sexually propagated varieties of plants. Applications for PVP must be filed through a country’s Plant Variety Protection Office.

Research and Joint Venture Agreements (JVA): A formal agreement among multiple institutions, frequently in different countries, to embark on a joint venture and collaborative research including the research activities being conducted and supported so as to meet the requirements and interests of both the parties (i.e., HC and U.S. CRSP institutions). A JVA will clarify the terms for conducting the collaborative research including (1) reporting, (2) handling of new inventions or products with commercial value that may result from the joint venture, (3) use, exchange, ownership and protections of new inventions, (4) notification of the MO and USAID, (5) sharing of royalties, (6) publication of research results, (7) handling of other parties’ confidential information, and (8) financing.
FUNDAMENTAL PRINCIPLES RELATED TO INTELLECTUAL PROPERTY (IP) GENERATION AND TRANSFER UNDER THE DRY GRAIN PULSES CRSP:

The Dry Grain Pulses CRSP is involved in both the collaborative development and transfer of diverse technologies including products of biotechnology (i.e., gene constructs for viral resistance, transgenic lines, etc.), plant germplasm (i.e., improved cultivars), natural products for control of crop pests (i.e., extracts from neem), grain storage technology, bean/cowpea processing protocols and technology, food products (i.e., iron-fortified weaning food, etc.), and research protocols and instrumentation.

Thus, the Dry Grain Pulses adopts the following principles relative to intellectual property generation and transfer, the protection of genetic resources, assessment of impact, and to its collaborative research and training activities between U.S. and HC institutions and universities.

1. **Commitment to research and training activities** that benefit bean and cowpea and related producers, grain handlers/traders, processors and consumers, regardless of scale, in the United States, in Africa, in the Caribbean and in Latin America. Activities within these regions are concentrated in countries identified as CRSP Host Countries (HC) which act as regional centers of research.

2. **Commitment to providing access to technologies** that arise from CRSP-funded research in the U.S., HCs, as well as non-CRSP countries within a region for the benefit of both the public (i.e., NARS, universities, etc.) and private sectors. Applications of CRSP technologies might include use in research, agricultural development, small business enterprise enhancement and the improvement of the economic state of farmers, grain handlers/traders and processors. It is recognized that the private sector plays an important role in development and may be in the best position in certain situations to make effective use of the technology for the benefit of society at large.

3. **Support for legal protection of IP** generated by CRSP-funded research through such means as patents, plant variety protection (PVP), trademarks and copyrights. Legal protection is viewed as a means to assure community access to IPs and to control private company use, thus maximizing their potential benefit to society in both the U.S. and in HCs.

4. **Recognition that the use of protected materials and technologies in research may be restricting the transfer and distribution** of the creations and spin-off technologies of said research, including their commercialization and transfer to CRSP Host Countries.

5. **Recognition of the importance of Genetic Resource conservation** and supports the free international exchange of those resources and breeding materials to maximize the efficiency of agronomic research and the breeding of improved varieties of beans and cowpeas.

6. **Recognition of the rights of farmers in conserving, improving and making available plant genetic resources**, particularly those in centers of origin diversity.

7. **Commitment to assisting HC PIs gain safe and legal access to IPs** for use in their research and technology transfer activities. IPs are frequently vital to the achievement of economically, socially and environmentally acceptable solutions to major production and utilization constraints identified within the CRSP projects. They may also be mutually beneficial to the U.S. and the collaborating countries and associated regions.

8. **Recognition of the strategic importance and value of indigenously generated IPs within host countries** for their sustainable development. Countries in possession of IPs of commercial value are empowered to take control of their economic futures.
9. **Commitment to building alliances with private sector industries** in both the U.S. and in HCs in order to take forward many of the creations of the research and to assure effective and sustainable dissemination of CRSP technologies to intended end users such as small-scale farmers and women.

10. **Commitment to the training and the preparation of HC scientists and professionals** in the use of IPs to facilitate research, accelerate technological development, and to generate IPs that can be commercialized. The Pulse CRSP contributes to this process through training, both degree and non-degree, the equipping of laboratories, and by providing access to scientific expertise worldwide through a network of pulse scientists.

11. **Commitment to the ongoing evaluation of the socio-economic and environmental impacts** of CRSP technologies. This commitment is based in part on the recognition that some IPs have the potential for negative social and environmental impacts when the technologies are improperly introduced or mismanaged.

12. **Commitment to assisting collaborating HC researchers in the development of guidelines for safe and legal handling and use of IPs** within their respective institutions, before research and technology transfer activities are initiated. This is in recognition that certain HCs and institutions in Africa and Latin America may not have established IP policies and biosafety guidelines similar to those set forth by the National Institutes of Health (NIH).
APPENDIX K

TRAVEL NOTIFICATION FORM

Dry Grain Pulses CRSP INTERNATIONAL TRAVEL NOTIFICATION FORM

Through: Director, Pulses CRSP, Michigan State University, 221 Agriculture Hall, East Lansing, MI 48824-1059
Fax: 517-432-1078, Phone: 517-355-4693

To: Agency for International Development, USAID/W/EGAT, Washington, DC 20523

Please notify USAID/W of the following travel plans under the Pulses CRSP award #EDH-A-00-07-00005

<table>
<thead>
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<th>Person(s) Traveling</th>
<th>Security Clearance</th>
<th>S.S. #</th>
<th>Home Institution</th>
<th>CRSP Affiliation</th>
<th>Require Mission Assistance</th>
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<td></td>
<td>(Yes/No)</td>
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Inclusive travel dates: From: ____________________________ To: ____________________________

Travel will originate in: ____________________________ (City/State/Country)

Countries to be visited: ____________________________________________________________

Purpose of travel: ________________________________________________________________

Persons to be contacted on visit (CRSP or Mission affiliated): _______________________

Budget approval: Principal Investigator, Lead Institution
Director/Deputy Director, Bean/Cowpea CRSP

NOTIFICATION ACKNOWLEDGED: Signature of USAID/W/EGAT Cognizant Technical Officer Date

__________________________________________________________________________

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APPENDIX L

EQUIPMENT AUTHORIZATION AND REQUEST TO PURCHASE

SAMPLE

GRANT NO. EDH-A-00-07-00005-00
MSU Dry Grain Pulses CRSP MO Fax#: (517) 432-1073

This form must be submitted to the management office for all purchases of equipment. Equipment is defined in 22CFR part 226 as tangible property "having a useful life of more than one year and an acquisition cost of $5,000 or more per unit." Written approval by the USAID/W Contract Office is required prior to purchase.

Lead Institution/Project: __________________________________________________________

Principal Investigator: __________________________________________________________

Item to be Purchased: ____________________________________________________________

For exclusive use in what geographic location: _______________________________________

Quantity: _____  Unit Price (U.S.$): _________  Total Price: _________________________

Probable Country Source: _________________________________________________________

Probable Country Origin: _________________________________________________________

___ Item requires source and/or origin waiver, i.e., source (vendor) and/or origin (manufacturer) are other than U.S. SOURCE AND/OR ORIGIN WAIVER IS REQUIRED WHEN UNIT COST EXCEEDS $5,000. Justification for waiver on the back of this form must be completed.

___ Engineering drawings attached for construction requests.

DISCUSSION ON REVERSE SIDE MUST BE COMPLETED.

/ Director/Deputy Director, Dry Grain Pulses CRSP  Date

Agreement Officer’s Technical Representative, USAID/W/EGAT  Date
Discussion: (Is cost included in current FY project budget? If not, how will funds be provided? Who will use the purchase? If shared with non-project personnel, how will their use contribute to project objectives: How will use of this item contribute to accomplishment of project objectives and significantly improve chances for project success? Would you accept a substitute? If not, why not?)

SOURCE/ORIGIN WAIVER:

Justification: (Why must non-U.S. vendor/manufacturer be used? If purchase is made in HC, is it an "off-the-shelf" item? If purchased or used in HC, are spare parts and qualified dealers/technicians available for maintenance?)
APPENDIX M
Dry Grain Pulses CRSP (2007 – 2012)

TRAINEE INFORMATION FORM

Trainee Name (complete name as in passport): ______________________________

Name of University and Country where enrolled: ______________________________

Title of Training Program: _________________________________________________

Date of Initial Entry into the U.S. or Third Country: ______________________

Visa Type (U.S Only):
__________________________________________________

If J-1, was a USAID-sponsored DS-2019 obtained through TraiNet?
Yes _____ Other Sponsor _____

If training is in Third Country, was student entered into TraiNet? Yes _____ No _____

Typed Name of Qualified U.S. University Representative:

Signature of Qualified U.S. University Representative: _______________________

Please attach copies of the following from the CRSP Trainee’s passport:
• Inside front page of passport with personal photo and personal data
• Copy of page with U.S. visa

Send completed form and attachments to the Management Office of the Dry Grain Pulses CRSP.
Dry Grain Pulses CRSP
Attention Ben Hassankhani
321 Agriculture Hall
Michigan State University
East Lansing, MI 48824