

Sustainable Agriculture and Natural Resources Management Collaborative Research Support Program

SANREM CRSP Policy and Operating Procedures Manual

June 2012

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Introduction

The Sustainable Agriculture and Natural Resources Management Collaborative Research Support Program (SANREM CRSP) was established by USAID in 1992. Its goal is to foster sustainable agriculture (SA) and natural resource management (NRM) through collaborative research between U.S. and developing country institutions for their mutual benefit by improving their abilities to develop and implement socially, economically, and environmentally sound agricultural production and NRM practices.

Specific objectives of the SANREM CRSP are:

- Support SA and NRM decision makers in developing countries by providing access to appropriate data, information, tools and methods of analysis, and by enhancing their capacity to make better decisions, thereby improving livelihoods and the sustainability of natural resources.
- Develop and implement replicable approaches to SA and NRM that enhance stakeholder livelihoods, promote SA and NRM systems, increase the involvement of women in decision making, and foster biodiversity.
- Promote and develop SA and NRM policies and practices that alleviate poverty and minimize land use conflicts by:
 - o improving agricultural productivity,
 - o reclaiming degraded lands,
 - o protecting the environment,
 - o conserving soil and water quality, and
 - o enhancing community capabilities to manage natural resources.
- Identify and describe the technical, social, economic, political, and institutional factors affecting SA and NRM.
- Work with participating groups to:
 - o design, test, and evaluate appropriate participatory SA and NRM strategies.
 - o promote training and information exchange on participatory SA and NRM.
 - o foster policy and institutional changes that promote SA and NRM.
- Disseminate SA and NRM knowledge.

SANREM priority areas of inquiry include:

- **Technology integration.** Technologies needed by stakeholders and decision-makers to promote SA&NRM practices (i.e., biotechnology, GIS, decision support tools, etc.).
- **Governance**. Policies and institutional arrangements enabling civil society to better manage natural resources.
- **Economic policy and enterprise development.** Supporting sustainable SA & NRM practices that develop niche markets, and are eco-friendly and competitive.
- **Social and institutional capacity building.** Training and policies promoting improved SA & NRM leadership, NGO technology transfer, and increased civil society and government synergy.
- **Biodiversity conservation and environmental services.** Investigating synergistic relationships between production, biodiversity, and livelihoods.
- **Systems linkages.** The integrated SANREM CRSP systems approach demonstrates how linkages between gender, biophysical, technology, governance, economic, social, environmental, and globalization factors achieve sustainable development.
- **Globalization, vulnerability, and risk.** SA and NRM best practices to manage globalization and address risk and vulnerability caused by HIV/AIDS, food insecurity and other factors.

Purpose and authority of policy and operating procedures

The purpose of the policy and operating procedures is to ensure that the SANREM CRSP operates in a consistent and efficient manner to promote SA and NRM research, training and technology transfer and in compliance with USAID policies and regulations.

Authority for Policy and Operating Procedures for the SANREM CRSP is contained in the Leader-with-Associate Cooperative Agreement No. EPP-A-00-04-00013-00 from USAID BFS to the Management Entity in the Office of International Research, Education, and Development (OIRED), Virginia Tech. The cooperative agreement contains the Schedule, Program Description, Standard Provisions, Sample Associate Awards, and Program Administration and Implementation provisions. This Cooperative Agreement was amended and extends the authority for the SANREM CRSP from 30 September 2004 to 30 September 2014.

In case of discrepancies between the Policy and Operating Procedures and the Cooperative Agreement, the Cooperative Agreement document described above takes precedence.

The June 2012 SANREM CRSP Policy and Operating Procedures (POP) Manual replaces the previously approved December 2010 SANREM CRSP POP Manual.

Summary of key policies

- Submit annual work plans by August 15.
- Submit USAID performance monitoring indicators data by August 31.
- Submit semiannual and annual progress reports by April 15 and October 15, respectively.
- Obtain J-1 visas through TraiNet for all host country SANREM supported students studying in the U.S., including those who entered the U.S. prior to SANREM support with non J-1 visas.
- SANREM CRSP provides financial support only for students who are U.S. citizens, permanent residents, or host country nationals.
- All SANREM products must follow USAID Marking and Branding Policy in the publication of all papers, reports, articles, book chapters, and presentations, and provision of equipment to host country partners.
- Any activities involving pesticides, genetically modified organisms, deforestation activities, or discharge of wastes requires a Pesticide Evaluation Review and Safe Use Action Plan (PERSUAP) amendment to the Initial Environmental Examination (IEE) as defined by 22 CFR 216 and approval by the ME and USAID before the activities can be implemented.
- SANREM CRSP pipeline policy. SANREM de-obligates unexpended funds from the previous year's budget exceeding 10 percent of the previous year's allocation. Exceptions may be made if requested in writing 30 days before the end of the budget year and if approved by the ME.
- Copies of all project-generated information resources must be provided to the ME and metadata for each resource must be entered into the SANREM Knowledgebase (SKB) along with the information resources (if they are not copyrighted) as they are published.
- The ME must be provided with all data, associated metadata, and materials generated through SANREM CRSP funding within six (6) months of the termination of the LTRA. At the request of principal investigators (PIs), data may be kept confidential for up to one additional year.

SANREM CRSP organizational structure

The Office of International Research, Education, and Development (OIRED) at Virginia Tech is the Management Entity (ME) for the SANREM CRSP and is the primary grantee of USAID. The ME is accountable to USAID for the SANREM CRSP programmatically and fiscally.

Certain programmatic and fiscal responsibilities are delegated from the ME to participating U.S. and host country institutions through sub-awards for research projects conducted by individual U.S. scientists and their host country counterparts. Institutional partners may be added and/or withdrawn as the program evolves.

Collaborative research arrangements between participating U.S. and host country institutions are governed by sub-awards between the host country institution and the SANREM CRSP ME. The Sub-award creates the contractual environment in which U.S. co-PIs can initiate and carry out collaborative research in a host country. This augments the capability of the host country institutions to collaborate with the overall SANREM CRSP. The sub-awards also create the contractual environment under which "Host Country Activities" are identified and implemented.

The Board of Directors of the SANREM CRSP serves as the top policy-making body for the CRSP. The Technical Committee (TC), the Long-Term Research Activity Teams (LTRA Teams), External Assessment Panel (EAP) and the USAID Agreement Officer's Representative (AOR) of the SANREM CRSP, and the USAID Bureau for Food Security (BFS) Team advise the ME and the Board in areas of policy, technical and program management, collaborating host country coordination, budget management, and review.

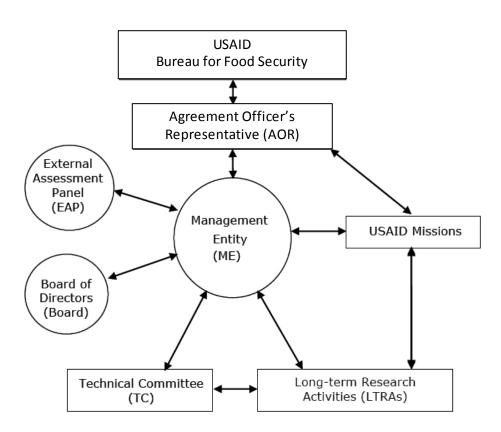


Figure 1. SANREM organizational units and interactions

Management Entity and its advisory groups

Management Entity (ME) members

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USAID Agreement Officer's Representative (AOR)

Harry Rea, BFS, USAID; <u>HRea@usaid.gov</u>; (202) 712-0359

Board of Directors (Board)

Anne Alexander, University of Wyoming Guru Ghosh, Virginia Tech Sylvia Yuen, University of Hawaii-Manoa Gary Pierzynski, Kansas State University William Randle, North Carolina A&T State University John Stier, University of Tennessee Michael Bertelsen, (Ex Officio), SANREM CRSP, Administrative Principal Investigator (PI) Adrian Ares, (Ex Officio), SANREM CRSP, Program Director Keith M. Moore (Ex Officio), SANREM CRSP, Associate Program Director Harry Rea (Ex Officio Voting), SANREM CRSP, USAID AOR

Technical Committee (TC)

Jeffrey Alwang, Chair, Long-term Research Award, LTRA PI, Virginia Tech Maria Elisa Christie, Gender Equity Coordinator and Gendered Knowledge CCRA PI, Virginia Tech Neal Eash, LTRA PI, University of Tennessee Catherine Chan-Halbrendt, LTRA PI, University of Hawaii-Manoa Jay Norton, LTRA PI, University of Wyoming P.V.V. Prasad, LTRA PI, Kansas State University Manuel Reyes, LTRA PI, North Carolina A&T State University Thomas Thompson, LTRA PI, Virginia Tech Shirley Tarawali, IARC Representative Jesse Naab, Host Country Representative Mike Bertelsen (Ex Officio), Administrative PI, SANREM CRSP, Virginia Tech Adrian Ares (Ex Officio), Program Director, SANREM CRSP, Virginia Tech Keith M. Moore (Ex Officio), Associate Program Director and Technology Networks for Sustainable Innovation CCRA PI, SANREM CRSP, Virginia Tech Michael Mulvaney (Ex Officio), Assistant Director and Soil Quality and Carbon Sequestration CCRA Coordinator, SANREM CRSP, Virginia Tech Harry Rea (Ex Officio voting), AOR, SANREM CRSP, USAID

External Assessment Panel (EAP)

The EAP is being reconstituted and membership is yet to be determined.

Management Entity

Purpose

The Management Entity (ME) is an institution with the legal status of judicial body that administers the Cooperative Agreement from USAID and manages the SANREM CRSP and its activities, including collaborative research, education and outreach programs.

Staff

The administrative PI is the overall leader of the SANREM CRSP and ensures financial and institutional accountability in accordance with standard university procedures and USAID requirements. Virginia Tech employs a full-time program director and associate program director for overall program leadership, part-time gender equity and policy and economic impact assessment coordinators, and other salaried support staff deemed necessary for overall implementation of the CRSP. Through acceptance of this cooperative agreement, the ME university (Virginia Tech) agrees to provide other programmatic and fiscal backup to the CRSP.

Administrative PI responsibilities

- Provide administrative and financial oversight of the SANREM CRSP, monitoring conformance with university and USAID procedures
- Supervise the core management team
- Serve as a scientific resource for the program, including non-voting ex officio membership on the TC and Board.

Program Director responsibilities

- Manage technical, administrative, and budgetary matters regarding the CRSP
- Coordinate the efforts of the core management team
- Lead and coordinate preparation of the annual work plan and budget
- Report program accomplishments and expenditures to USAID through annual reports and other required reports
- Represent the SANREM CRSP in CRSP Council meetings
- Develop and implement monitoring and evaluation procedures to assure that the overall performance of the CRSP meets program objectives
- Monitor programs and use of funds by participating institutions that are assigned responsibility through sub-awards
- Liaise with consortium partners and external SANREM CRSP collaborators
- Facilitate equipment purchase approval through the AOR and the USAID Contracts Office
- Provide leadership in seeking and negotiating supplemental financial resources, such as Associate Awards with USAID Missions
- Coordinate rapid deployment of technical assistance requested by USAID Missions
- Participate as a non-voting ex-officio member of the Board and TC
- Implement Board policies and recommendations
- Represent the CRSP to USAID/Washington and internationally

Associate Program Director responsibilities

- Coordinate implementation of the SANREM Knowledge Base
- Manage the impacts reporting system
- Coordinate collection and preparation of work plans, semi-annual and annual reports
- Technically edit the annual report
- Facilitate degree and non-degree training programs
- Oversee production of SANREM newsletters, fact sheets, research briefs, and technical bulletins
- Maintain records on all training, workshops, CRSP publications
- Liaise with consortium partners and external SANREM CRSP collaborators
- Coordinate Memoranda of Understanding with host country institutions
- Contribute updates to the SANREM CRSP website
- Represent the Program Director as needed at CRSP Council and other meetings
- Update and maintain the SANREM CRSP Policy and Procedures Manual

Assistant Program Director responsibilities

- Coordinate SANREM CRSP Phase IV areas relevant to soil and crop management for conservation agriculture including the soil quality/carbon sequestration cross-cutting research activity
- Conduct research and provide technical and programmatic leadership to develop conservation agriculture production systems in food insecure developing countries
- Review, edit and submit Pesticide Evaluation Review and Safe Use Action Plans (PERSUAP)
- Write, review and edit SANREM produced cropping systems and soil quality related publications

Gender Equity Coordinator responsibilities

- Ensure that gender equity is an integral planning, implementation and impact component of all SANREM projects
- Coordinate reporting on gender implications of all SANREM CRSP interventions
- Conduct research and provide technical and programmatic leadership in all gender aspects of conservation agriculture production systems in food insecure developing countries
- Participate in all ME planning processes and activities
- Participate as a voting member of the TC
- Ensure that gender considerations are properly integrated into all research and training activities, and that a high level of gender scholarship is maintained in SANREM development and technology transfer

Policy and Economic Impact Assessment Coordinator responsibilities

• Coordinate policy and economic impact assessments and the reporting of related policy and economic information

Board of Directors

Purpose

The Board of Directors (Board) will provide policy-level advice to the ME.

Composition

The SANREM Board will be composed of up to eight high-level administrators of eligible US colleges and universities (see CRSP Guidelines), host country institutions, and the International Agricultural Research Centers (IARCs) serving on a rotating basis; the USAID AOR; and non-voting ex officio members of the ME. Members of the Board are selected by the ME in concert with the AOR. The USAID AOR will serve as an ex officio, voting member of the Board. Virginia Tech Management, as the ME, has permanent membership on the Board. The Virginia Tech Board member will not have an official position in the ME.

A majority of the US-based funded lead-institutions will be represented on the Board in a given year. Representation of these institutions will rotate according to the plan developed by the Board. The term of service will be either two or three years, to ensure continuity. Individual service time will be determined by consensus of the full Board.

The Board of Directors will elect a Chair every two years, with duties beginning September 30. The incumbent may be re-elected. The ME serves as the executive secretariat to the Board.

Responsibilities

The Board of Directors is responsible for overall policy concerning programs and operations for the SANREM CRSP. The responsibilities of the Board include, but are not limited to:

- providing the ME with advice on program policy issues.
- evaluating the global plan, content and balance of the program.
- reviewing the progress/accomplishments of the CRSP through annual reports and mid-term reviews by the EAP.
- approving additions/deletions/modifications to activities of the CRSP.
- approving nominations for the EAP to be submitted to USAID/W.

Meetings

The Board will meet at least once annually. The ME, in consultation with the Chair of the Board, determines the date and format/location of the meetings. Meeting options include conference telephone calls or other electronic communication. Participation by at least 50 percent of the Board members is considered a quorum for transaction of business and a simple majority of members present is required for decisions by the Board. The meeting agenda will be developed jointly by the ME and the Board Chair and sent to members along with supporting material one week in advance of the meeting. Board meeting minutes will be distributed and edited within two weeks following the meeting. They will be acted upon at the following meeting.

Action without meeting

Meetings may be held through telephone conference. Any action required or permitted to be taken by the Board may be taken by a mail/email ballot without a congregate meeting if members of the Board,

individually or collectively, consent in writing to such a procedure. Actions duly taken without a congregate meeting will be recorded and will have the same force and effect as an action or resolution duly adopted at a meeting of the Board.

Fees and compensation

Members of the Board shall not receive compensation for services as Board members, but reimbursement of travel expenses for attending Board meetings is allowed.

Extent of authority of Board

While the ME has the authority to make the final decisions relative to program assignments, budget allocations and authorization, the ME should, in the collaborative spirit, carefully consider the advice and guidance of the Board and other CRSP advisory groups. Departure from the Board's recommendations by the ME should be justified, recorded and reported in writing to the Board by the ME.

Technical Committee

Purpose

The purpose of the Technical Committee (TC) is to review the research, training, and technology transfer progress; to assess the research outcomes and impacts of the SANREM CRSP; and to propose modifications in the program.

Composition

The voting members of the SANREM CRSP Technical Committee (TC) will comprise:

- Long-Term Research Award (LTRA) Lead-PIs
- SANREM CRSP gender equity coordinator
- USAID AOR
- One host-country representative
- IARC representative
- Other members as needed to provide additional scientific expertise or gender balance

Terms on the TC will be for two years with a possibility of renewal.

Non-voting, ex officio TC members include:

- SANREM CRSP administrative PI
- SANREM CRSP program director
- SANREM CRSP associate program director
- SANREM CRSP assistant program director

The TC chair will be elected by a simple majority by TC members for a one-year term beginning with the initial meeting. The TC chair may be re-elected. Elections may be conducted by e-mail or at scheduled TC meetings.

Responsibilities

The TC provides the ME with technical advice concerning the scientific merit and development implications of program activities. The responsibilities of the TC include but are not limited to:

- reviewing technical progress relative to annual work plans and proposing modifications therein
- reviewing LTRA research activity reports, annual activity work plans, and progress reports and presentations at the annual meeting
- providing input into coordination of U.S. and host country programs
- providing input and assisting the ME in preparing for EAP reviews
- responding to External Evaluation Panel (EEP) and External Assessment Panel (EAP) suggestions and concerns
- providing programmatic guidance to the LTRA teams
- monitoring the development of the SANREM Knowledgebase
- facilitating workshops, symposiums, site workshops, and other meetings promoting SANREM program objectives

Meetings

The TC will meet physically once a year – usually in conjunction with the SANREM CRSP annual meeting. Telephone conference calls or electronic conferencing will be held as needed to conduct additional committee business. The ME will provide travel support for non-LTRA associated TC members to attend the annual meeting.

The ME, in consultation with the chair of the TC, determines the time, format, and location of meetings. Participation by at least 50 percent of the TC voting members is considered a quorum for transaction of business, and a simple majority of voting members present is required for decisions by the TC. The chair has a vote on all issues. TC meeting minutes will be distributed within two weeks after the meeting and acted upon at the following meeting.

Action without meeting

Any action required or permitted to be taken by the TC may be taken by a mail or e-mail ballot without a meeting if a majority of the voting members of the TC consent in writing to such a procedure. Actions duly taken without a congregate meeting shall be recorded and shall have the same force and effect as an action or resolution duly adopted at a meeting of the TC.

Fees and compensation

Members of the TC shall not receive compensation for services as TC members, but reimbursement for expenses of attendance of non-LTRA members at each meeting is allowed.

Extent of TC authority

The TC recommendations will be reported in writing to the ME (typically by TC meeting minutes), and the ME will report to the TC on management follow-up actions. TC policy recommendations will be forwarded to the Board for further consideration.

Long-Term Research Activity Teams

Purpose

The primary purpose of the Long-Term Research Activity (LTRA) teams is to plan and implement SANREM CRSP-funded long-term research activities.

Composition

LTRA teams are composed of Lead PIs and their partners from U.S., international, and host country institutions that have successfully competed for and won SANREM CRSP LTRA funding. The Lead PI shall always be from the lead U.S. university. At a minimum, a site coordinator from each host country will be included on the LTRA team. Each LTRA PI will hold a seat on the TC.

Responsibilities

- Coordinate collaborative research and institution building for respective SANREM CRSP longterm research activities
- Coordinate research and budgetary issues with the ME
- Develop annual work plans and budgets for their SANREM CRSP-funded long-term research activity and recommend the same to the ME
- Provide host country and regional training need recommendations to the ME with special emphasis on host country student identification for training
- Provide input to collaborative activity in the geographical regions covered and contribute to the SANREM CRSP regionalization and globalization goal
- Provide input and assist the ME and Lead PI in planning and implementing program, country and regional reviews
- Coordinate LTRA team activities with the TC and ME
- Assist the ME in developing and implementing cross-program activities and knowledge exchange
- Respond to EAP questions, comments, and suggestions
- Support the development of the SANREM Knowledgebase (SKB) by adding activity generated knowledge to the database

Meetings

The LTRA teams shall meet in person at least once annually and by teleconference or other forms of electronic conferencing on a quarterly basis. Such meetings are generally held at an appropriate site in a host country involved in the project. The PIs and site coordinators in consultation with other LTRA team members will determine the time, location, and meeting agenda. Such meetings will be scheduled in a cost-effective way so that as many members as possible can attend. LTRA team meeting minutes will be distributed within one month to the ME and LTRA team members. The primary objective of such meetings is to discuss research findings, plan and coordinate the implementation of research, and develop dissemination activities.

Lead Principal Investigators (PIs)

Purpose

The Lead PIs provide research and administrative leadership to their respective LTRA teams coordinating the development and implementation of annual work plans and reporting progress of the LTRA team research activity. Lead PIs should establish and maintain good working relationships with all partner institutions in the United States and host countries, international research centers, USAID Missions, U.S. and host country scientists, students, other CRSPs, and donor and non-governmental organizations.

Selection of Lead PIs

Each LTRA team will select a Lead PI, who shall always be from the lead U.S. university.

Responsibilities

- Serve as a voting member of the TC
- Provide overall coordination and leadership of LTRA team activities
- Work closely with the LTRA team and site coordinators on all research activity issues
- Keep all collaborating institutions informed of major events or developments in the activity
- Participate actively in the administration of the research activity budget and maintenance of appropriate records
- Ensure that activity expense vouchers are submitted to the contracting SANREM CRSP university or the ME on a monthly basis
- Act as the point person for information concerning LTRA team activities
- Coordinate the writing, consolidation, and submission of all appropriate reports to the ME, making sure that all deadlines are met
- Ensure that equipment purchased with program funds is received and assigned properly
- Coordinate agendas and logistics for SANREM CRSP collaborators, evaluators, and other partners
- In close collaboration with the LTRA Team, lead in the preparation of SANREM CRSP annual work plans and reports

Site coordinators

Purpose

The site coordinator with the assistance of the LTRA Lead PI and the members of the LTRA team provides leadership in overall coordination of the CRSP activities in a host country. The site coordinator is responsible for day-to-day on-site activities and shall ensure the implementation of the SANREM CRSP activities in the country or region as detailed in the annually adjusted activity work plan. Among the main duties of the site coordinators are to establish and maintain good working relationships with host country research institutions, international research centers, USAID Missions, U.S. and host country scientists, students, other CRSPs, and NGO and donor organizations.

Selection of site coordinators

Once LTRAs are established, LTRA Teams will select site coordinators for in-country activities. Site coordinators need to be endorsed by the collaborating host country institution.

Responsibilities

- Provide overall coordination and in-country leadership of all SANREM CRSP activities at the site
- Work closely with the Lead PI and LTRA team on all program issues
- Keep all collaborating institutions informed of major events or developments in the activity
- In cooperation with the coordinating host country institution, participate actively in the administration of the site budget and maintenance of appropriate records
- Facilitate and actively ensure that activity expense vouchers are submitted to the contracting SANREM CRSP university or the ME on a monthly basis
- Ensure that activity fund advances and expense reimbursements by the SANREM CRSP are received properly and regularly
- Act as the point person for information coming into the country and information going out of the country concerning the site's activities
- Coordinate the writing, consolidation, and submission of all appropriate reports to the Lead PI and the ME, making sure that all deadlines are met
- Serve as liaison with the USAID Mission as well as other appropriate organizations and institutions interested in SANREM related issues in the country
- Ensure that equipment purchased with program funds is received and assigned properly
- Coordinate agendas and logistics for SANREM CRSP collaborators, evaluators, and other visitors to the site
- In close collaboration with the Lead PI, coordinate the preparation of SANREM CRSP annual work plans and reports

External Assessment Panel

Purpose

The External Assessment Panel (EAP) is charged with overall technical advice and assessment of the SANREM CRSP, which includes evaluations of proposals submitted through the SANREM CRSP competitive awards program, program direction, and research collaboration with host countries. The EAP will conduct periodic assessments of the SANREM CRSP that includes a review of individual research activities and the overall program. The EAP provides written evaluations and recommendations for retention, addition, elimination, and/or modification of SANREM CRSP component projects.

Composition

The EAP shall consist of three to five members representing a diverse mix of SA and NRM disciplines and not representing any currently participating institutions. There will normally be four EAP members; however, membership may be expanded or contracted depending on EAP workload. The term of office is for two or three years with terms staggered to promote continuity. Members may be reappointed. The EAP chair will be selected by the EAP members and the ME in consultation with the Board.

Appointment

Candidates for membership on the EAP are nominated by the ME in consultation with CRSP partners, the Board, TC, and USAID AOR. After receiving consent from the AOR, the ME makes the appointments of the EAP members.

Responsibilities

- Evaluate, rank, and recommend cutting edge research activity applications for long-term support to the ME
- Assure that the SANREM CRSP achieves programmatic objectives and effective geographic and disciplinary balance
- Identify and promote complementarities and synergies between and within research activities
- Assess the balance of domestic versus overseas research in terms of their effectiveness of solving constraints in developing countries
- Assess the cost-effectiveness of the entire CRSP operation in terms of actual cost of doing business versus cost of alternatives
- Assess the degree of success realized in the transfer of the results of research to users
- Identify inadequate, irrelevant, or marginal activities to the SANREM CRSP objectives
- Report evaluation findings and recommendations to the ME, TC, and Board
- Conduct other timely assessments with overseas and U.S. site visits as required.

Meetings

The EAP will meet as necessary to plan for activities and develop recommendations. The ME, in consultation with collaborating institutions and the EAP, will develop a working schedule for comprehensive reviews by the EAP.

Fees and Compensation

Members of the EAP will be compensated for services as EAP members and for travel expenses.

Extent of EAP Authority

The CRSP should make full use of the EAP and its recommendations. The ME will respond in writing to EAP reports clarifying acceptance or rejection of each recommendation and report. The EAP recommendations may serve as the basis for bringing about salutary changes in the CRSP. In the event the ME disagrees with the EAP's recommendations, the rationale for such disagreement shall be recorded by the ME and forwarded to USAID.

Extent of EAP authority

The CRSP should make full use of the EAP and its recommendations. The ME will respond in writing to EAP reports clarifying acceptance or rejection of each recommendation and report. EAP recommendations may serve as the basis for bringing about salutary changes in the CRSP.

Conflict of interest policy

The conflict of interest policy is designed to prevent apparent and obvious conflicts of interest. Members of the EAP and shall not be affiliated with current SANREM partner institutions. Members of the EAP shall not participate in evaluating (scoring and voting) an application if:

- they are a PI or collaborator on an application.
- their institution has a stake in the application (lead or sub-contract).
- they have co-authored a publication or been a Co-PI on a project during the past five years with a PI on an application.
- they were the major professor of an application PI.
- they feel they cannot objectively evaluate the application for any other reason.

Members of the EAP with clear or potential conflicts of interest shall notify the SANREM CRSP program director immediately so that these conflicts can be avoided through reassignment of reviews or replacement of EAP members.

Operating procedures

Procedures for enacting organization changes

During the lifetime of the CRSP and during the period of an award, program priorities and available funding may cause substantial changes in the research program, such as adding or deleting a research activity or U.S. institution, change in host countries or geographic region, or making major changes in the objectives of a project. The SANREM CRSP will utilize its normal planning and review process, including input from the Board, the TC, the Site Coordinators, the EAP, the ME and the USAID AOR, when adding, deleting, moving or substituting a project, institution or LeadPI.

These Policy and Operating Procedures have been developed to help the SANREM CRSP operate in a transparent, consistent, and efficient manner. They may be changed at any time based on suggestions from any component of the SANREM CRSP and subject to approval by the Board and the ME. The POP Manual may be updated periodically to reflect these changes.

Procedure to initiate new research activities

In the broadest sense, research activities include the sub-activities of training, research, and technology transfer. New research activities may be created on an as-needed basis through guidance from the advisory bodies. To initiate a new activity, the ME will prepare a Request for Applications (RFA) for the activity area. Request for Applications may be for actual research activities or for the planning grants to develop long-term research applications. New activities should complement the current USAID approved SANREM CRSP research plan. Request for Applications are disseminated to all U.S. institutions through APLU and the Community of Science, posted on the website, and e-mailed to the mailing list of SANREM CRSP interested individuals and institutions. When complete Research Applications are received by the ME, they are forwarded to the EAP (and ERP if applicable) for evaluation and ranking. The ME in full consultation with the EAP then selects applications for funding.

Change in research activities

Approval is needed from the ME whenever there is a major change in approved project objectives, research plan or budget. Reason for this action may include:

- changes in country, regional, or global priorities.
- performance of the project below an acceptable standard.
- decreased funding from USAID, which requires elimination or significant reductions in research activities.

Change in Lead principal investigators

When a Lead Principal Investigator (Lead PI) of a SANREM CRSP sponsored activity leaves the activity because of a transfer to another institution or for any other reason, the activity will remain with the institution, subject to the institution submitting an interim revised management and work plan and approval of the revised plan by the ME. Sub-awards under the CRSP are typically with institutions, not individuals.

Change in institutions

Participating U.S. institutions are competitively selected on the basis of the quality of research applications submitted by scientists affiliated with that institution. A participating institution may be designated as the Lead Institution of an activity that involves multiple collaborating institutions. The Lead Institution becomes the responsible institution to enter into a sub-award agreement with the institution of the ME and to provide required reports (technical, administrative, and fiscal) as indicated in the agreement. The institutional support, expertise and capacity in specific areas of science and their ability to conduct collaborative research in support of approved objectives are also evaluated in the selection process. Each participating U.S. institution is responsible for implementing activities that contribute to the overall goals and objectives of the SANREM CRSP.

From time to time it may be necessary to change the institutional leadership of research activities. A participating U.S. or host country institution may be phased out or placed on inactive status because of:

- completion of research activity objectives;
- change in status of PI(s);
- changes in country, regional or global priorities;
- the institution no longer has the resources to maintain its participation;
- performance of the institution is below an acceptable standard; and
- decreased USAID support for the CRSP, which requires elimination of project activities to remain viable.

The process of replacing a lead or participating U.S. institution involves the ME and Board acting in accordance with the established review procedures. The Board and ME work with an institutional representative (IR) of the affected institution to bring about the appropriate action and the ME works with the USAID AOR throughout the process.

In the event that U.S. or host country institutions have their activities closed out, the PIs and Board member from that institution will lose their seats on the TC and Board. Such institutions would be free to submit new research applications at any time to further their participation in the SANREM CRSP.

Multi-institutional involvement

Recognizing that effective collaborative research requires multi-institutional involvement (among SANREM CRSP partners), the ME, through the TC, shall ensure all programs involve US institutions in their host country activities in a proactive way.

Carryover funds policy

When unexpended funds from the previous year's budget exceed 10 percent of the year's allocation, the excess will be de-obligated from the current year's research activity budget and re-obligated to new activities by the ME. Exceptions may be made if they are requested in writing 30 days before the end of the previous budget year and approved by the ME.

Fund terminology

Core Funds:	Core funds are funds coming directly from USAID for SANREM CRSP activities.
Associate Award Funds:	Associate award funds are those funds coming from USAID Missions or USAID/Washington directly to the ME for activity implementation. These funds are used for specific tasks to be carried out as determined by the USAID.
Technical Assistance Funds:	Technical assistance funds are core funds specifically designated for the performance of specific tasks requested by USAID Missions.
Carryover Funds:	Carryover funds are those allocated but for which no invoices have been submitted to the ME during previous budgetary year(s).
Pipeline:	Pipeline describes the funds remaining after subtracting expenditures, which have been invoiced to date, from the total amount awarded to date. These core funds are committed to work plan-driven activities. They may have been expended or encumbered by Virginia Tech or any of the collaborating institutions, but since they have not been paid, USAID considers them pipeline funds.

SANREM CRSP calendar

The five-year calendar (October 2009 through September 2014) establishes the series of events that require planning through Phase IV of the SANREM CRSP award. This provides a planning time frame for all committees, groups, and reviews of the program.

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
October	Annual reports due	Annual reports due	Annual reports due	Annual reports due	Annual reports due
November	EEP meets to evaluate long- term core research applications Long-term core research projects awarded	Completion of FY 2010 annual report	Completion of FY 2011 annual report	Completion of FY 2012 annual report	Completion of FY 2013 annual report
December					
January	Long-term research activities initiated				
February	Completion of FY 2009 annual report			Assessment of research activity progress to determine eligibility for continuation of activity funding	
March					
April	Semiannual progress reports due	Semiannual progress reports due	Semiannual progress reports due	Semiannual progress reports due	Semiannual progress reports due
Мау	Annual research program and TC meeting May 5-7, Blacksburg, Va.	Annual research program and TC meeting	Annual research program and TC meeting	Annual research program and TC meeting	Annual research program and TC meeting
June					
July					
August	Annual work plans submitted, and USAID Indicators submitted	Annual work plans submitted, and USAID Indicators submitted	Annual work plans submitted, and USAID Indicators submitted	Annual work plans submitted, and USAID Indicators submitted	USAID Indicators submitted
September					Final Report in 90 days

Coordination and clearance of international travel

Travel request

International travel associated with SANREM CRSP activities must be in the annual work plan approved by USAID before a trip can be taken. Any additional international travel must be approved by the ME and USAID on a case-by-case basis. For some countries, additional notification and permission from the USAID Mission is required prior to each trip for security reasons (e.g., Cambodia and Nepal as of 2010). For international travel to be approved, travel expenses must be provided for in the annual activity work plan and budget and individual trips to each country visited submitted to the ME on a SANREM CRSP International Travel Request (Form 12) available from the SANREM CRSP website. The ME will submit a combined request for travel authorization and the annual activity budget to USAID for approval. Once USAID has approved the travel, the ME will issue International Travel Authorization Numbers to each Lead-PI for their team's SANREM-approved international travel.

Lead-PIs are responsible for assigning these individual/trip authorizations among co-PIs. Please note that the authorizations are assigned by country visited, not number of round trips. For example, if a co-PI travels to Ecuador and Peru on the same round trip, there will be two authorization numbers associated with the travel. The authorized destination country is not adjustable. However, the Lead PI has some flexibility in adjusting who actually travels for the assigned tasks and on what dates the trip(s) is taken.

These International Travel Authorization Numbers should be submitted with the documentation accompanying invoices for the associated travel. International travel will not be reimbursed without these authorization numbers.

International travel guidelines

PIs and their researcher colleagues must follow their own institutions rules and regulations for both domestic and international travel. However, there are some USAID-specific guidelines that must be followed.

The term "international travel" means travel to all countries other than those within the home country of the traveler. All international air travel and shipments under this award are required to be made on U.S. flag air carriers to the extent service by such carriers is available. For more information on these regulations see the 'Fly America Act' website at: <u>http://www.tvlon.com/resources/FlyAct.html</u>. For up-to-date information on foreign international per diem allowances, see: <u>http://aoprals.state.gov/content.asp?content_id=184&menu_id=78</u> and for U.S. per diem allowances see: <u>http://www.gsa.gov/portal/category/21287</u>.

U.S. Visas for Host Country Nationals

Training Participants

Host country nationals participating in CRSPs travel to the U.S. for business and training routinely. USAID requires that **all foreign "training" participants** who are traveling internationally on USAID funds (either partially or completely) be registered and apply for entry visas through USAID's **TraiNet System** in order to comply with Homeland Security regulations. All participating US lead institutions must be able to utilize TraiNet to obtain visas for foreign research activity "training" participants. In information sent to Virginia Tech in 2009, USAID made the following distinctions for use of TraiNet:

A "training participant" is defined in ADS 252 (<u>http://www.usaid.gov/policy/ads/200/252.pdf</u>) and 253 (<u>http://www.usaid.gov/policy/ads/200/253.pdf</u>) as:

"An eligible host country resident or national sponsored by USAID for a **learning** activity conducted within the U.S., a third country, or in-country for the purpose of furthering USAID development objectives. A **learning** activity takes place in a setting in which an individual (the participant) interacts with a knowledgeable professional predominantly for the purpose of acquiring knowledge, skills, or information for the professional or technical enhancement of the individual. Leaning activities may be formally structured, such as an academic program or a technical course, or they may be more informal, such as an observational study tour."

Learning activities include short-term training and degree programs. Foreign students already in the US on another visa (even those from a participating host country) will be required to obtain a J-1 visa through the TraiNet system before they can begin either a short-term training or degree program supported by SANREM CRSP funds.

For instructions about how to comply with this system see <u>TraiNet-HAC Instructions</u> in the Team Room of the SANREM CRSP website and associated (Forms 10, 10A, 10B, and 10B).

SANREM Business Travel

If the person is traveling as part of their employment-related duties to undertake the review of a scope of work, to draft a scope of work or other proposal, to review individuals to hire as part of the award, to discuss program budgets or other management issues, he or she is not a "training" participant and should not travel on a J-1 visa. The travel of individuals to manage the business part of CRSP activities should be undertaken on a Business Visitor Visa (B-1). *Note: Individuals entering the U.S. on a B-1 visa may receive no salary or income from a U.S. based company/entity, other than expenses incidental to the visit. If honorarium will be received, activities can last no longer than nine days at any single institution or organization.*

Procedure for equipment purchase

Equipment (defined below) purchased using SANREM CRSP funds must be in compliance with Office of Management and Budget's Circular A-21 and the ME must obtain USAID AOR approval prior to equipment purchase.

- 1. <u>Special Purpose Equipment</u> is defined as an article of nonexpendable tangible personal property, which is used only for research, medical, scientific, or other technical activities, and which has a useful life of more than two years and an acquisition cost of **\$5,000 or more** per unit.
- 2. <u>General Purpose Equipment</u> is defined as an article of nonexpendable tangible personal property, the use of which is not limited only to research, medical, scientific, or other activities (e.g., office equipment and furnishings, air conditioning equipment, reproduction and other equipment, motor vehicles, and automatic data processing equipment), and which has a useful life of more than two years and an acquisition cost of **\$5000 or more** per unit.

For equipment purchase approval, the "SANREM CRSP Equipment Authorization and Request to Purchase" form (<u>Form 25 - Equipment authorization and purchase request</u>), available in the Team Room of the SANREM CRSP website, must be completed and approved by the ME and USAID prior to equipment purchase. Equipment requests must identify:

- 1. The name and brief description of the equipment to be purchased
- 2. Reason the item is needed---relating to stated project objectives
- 3. Ownership and responsibility for maintenance, liability and operation costs, CRSP or collaborating institution
- 4. Availability of budgeted funds for purchase, shipping, etc.

If the proposed purchase has a non-U.S. source and/or origin, the "justification for waiver" portion of the form must be completed. Purchase of non-U.S. source and/or origin equipment can be a lengthy process and which should be avoided if possible.

USAID approval for equipment purchase will be transmitted in writing to the ME, who will forward copies to the Lead-PI and designated Contracts and Grants Officer.

The ME will not process equipment purchase authorization requests for items already purchased. Without USAID 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.

All equipment purchased with USAID SANREM funds and used in host countries must be labeled and branded in accordance with USAID Branding guidelines. See: <u>http://www.usaid.gov/branding/</u>.

Graduate Students

US and host country (HC) graduate students may be employed on CRSP projects at US or overseas sites as research assistants to achieve CRSP goals. Their employment follows conventional practices of U.S. universities under the Hatch Act system, and US institutional Guidelines on compensation should apply as long as the employment and the compensation are not in conflict with the USAID assistance agreement. US students benefit from expanded learning opportunities about global agricultural research, strengthening their capacity to carry out research and teaching activities, for solving problems in food production, processing, markets, and consumption in developing and transition countries.

SANREM CRSP financial support can only be provided for students who are U.S. citizens, permanent residents, or host country nationals. Host country national students are only those students from USAID-supported countries in which the PI is working with SANREM CRSP support. Students from other countries may be cost-shared to the project. All host country students identified who are supported by SANREM (including those who entered the U.S. prior to SANREM support with non J-1 visas) and plan to study in the U.S. must first obtain a J-1 visa through TraiNet before they can enter US-based training programs.

Assignment of graduate students as research assistants overseas is subject to host country partner approval. Such assignments must be closely supervised by senior US and HC scientists, including some on-site direction, especially during the initial period of the assignment. Graduate student assignments could include thesis research on a CRSP project when this fits into the CRSP and host country goals and objectives. Often graduate students are selected based on a specific project needs. This should be balanced with the overall training needs of the HC in which the CRSP is working. It is the responsibility of the ME to be sure that the training plan reflects these needs and that such training is conducted.

While graduate students can contribute to CRSP research under proper supervision, developing countries and USAID expects that the ME will strongly encourage the Principal Investigators to carry out CRSP activities in developing and transition countries to maximize the benefit to host country students and professionals.

Instructions for Requesting Host Country Student Visas and Insurance

Bringing host country students and other nationals into the U.S. for long and short-term training activities in the post-9/11 era requires advanced planning and documentation. USAID requires **all training** participants traveling on USAID funds (either partially or completely) be registered and apply for J-1 entry visas through USAID's **TraiNet System** to comply with Homeland Security regulations*. Your university should be authorized to use the TraiNet system. If not, your university will need to initiate contact with TraiNet (Allison Kennett <u>Allison Kennett@sra.com</u> or <u>trainet-vcs@sraprod.com</u> (703) 879-8611) to set up a TraiNet System. For further questions you may contact Linda Walker of USAID BFS at <u>lwalker@usaid.gov</u>.

In order to bring a host country national into the US, you will need to do three things:

- (1) register your visitor and apply for their visa with the TraiNet System through your university (please initiate this process early as it can **at least 8-10 weeks** or more to get a visa); and
- (2) arrange for health insurance (HAC Insurance) to cover the visitor during their stay in the U.S.

(3) Right after he/she arrive in the U.S. you must send a copy of his/her DS2019 form to the SANREM ME (<u>cbrannan@vt.edu</u>; fax (540) 231-1402). It is very important to make sure all HC students supported by SANREM have their J-1 visas through the TraiNet System.

For instructions about how to comply with the TraiNet system, see <u>TraiNet-HAC Instructions</u> in the Team Room of the SANREM CRSP website and associated (Forms 10, 10A, 10B, and 10B).

HAC Insurance

USAID requires that host country participants have HAC Insurance for health coverage while in the U.S. Information on HAC Insurance can be found at: <u>http://www.hthadvisors.com</u>. Enrollment Services can be contacted at: (877) 237-2390; or email: <u>info@hthworldwide.com</u>.

For HAC insurance for USAID-sponsored programs, the premium rate information, as well as a brief summary of the difference in plans is outlined below. The HAC Template is an Excel spreadsheet (attached) to be filled out and submitted. In order to process HAC enrollments, the information for the fields that are highlighted in orange at the top of the HAC template are the fields which need to be completed. If you put the curser on the heading for each column it will give you a short description if you are unsure what information is needed there.

To enroll, you will first need a site ID. This will be the same site ID as you were given for use in TraiNet. If you do not yet have the site ID, please contact Diane Foraker at HTH Worldwide. She can be reached by e-mail at <u>dforaker@hthworldwide.com</u> or by phone at: (610) 254-8735. The enrollment ID should be unique for each member, and can be any combination of numbers and letters, up to twelve characters long.

There are three different plans to choose from and it depends if the participants are going to have a Medical Certificate or not at the time of travel (a medical checkup and a completed form from USAID). If not, they are eligible for Plan C, which is described below; otherwise, enrollment should be for Plan A or B. For further details please see the USAID Health and Accident Coverage FAQ website at: <u>http://trainethelp.usaid.gov/HACIns/index.htm</u>. Current rates and application templates for HAC insurance are available at: <u>http://trainethelp.usaid.gov/Documents/index.htm</u>.

Annual work plans and work plan budgets

The annual work plan (**Form 23**) and work plan budgets (**Form 1**) are annual updates of the original proposal work plan/scope of work. They take into account accomplishments, obstacles, and opportunities identified during the previous year. The original project goals and objectives can be modified based on changes proposed by the annual work plan and work plan budget. The work plan and budget list major research objectives, tasks required to accomplish the objectives, responsible parties, expected outcomes/products, and the estimated cost of each objective/task. If approved by the ME, previous objectives can be modified or dropped, and new objectives and research activities can be undertaken. Templates for the preparation of work plan budgets are available in the Team Room of the SANREM CRSP website.

Reporting requirements

This section outlines SANREM CRSP reporting requirements and who is responsible for producing the report and corresponding deadlines.

SANREM Knowledgebase (SKB)

All SANREM funded participants are required to contribute to the SANREM Knowledgebase (SKB). The SKB is a key component of the SANREM CRSP. It archives and organizes SA and NRM knowledge into a searchable database that enable users to quickly locate information (articles, reports, books, projects, presentations, photos, videos) using user-specified keywords and criteria.

SANREM partners are required to enter reportable material into the SKB as soon as it is generated. All SANREM CRSP publications, presentations, and other information resources (except those with copyright issues) shall be uploaded into the data base. In this way, all knowledge developed through the SANREM CRSP will be accessible at http://www.oired.vt.edu/sanremcrsp/professionals/knowledgebase/. Guidance on entering information resources into the SKB is available on the same webpage.

When this knowledge is entered in the SKB, SANREM partners will also be asked to fill in bibliographic, other metadata, and the activity identification number using a user-friendly web-based template so that the knowledge can be properly classified and retrieved in the future. In addition, all data sets and associated metadata shall be cataloged in the SKB. At the PI's request, data sets will not be made publically available for up to two years to allow PIs time for publication.

Procedures are available to upload non-copyrighted electronic copies of SANREM-generated work to the database. Examples of reportable knowledge include, but are not limited to:

- Reports
- Journal articles and other refereed publications
- Books and book chapters
- Proceedings and abstracts
- Dissertations and theses
- Extension-type publications

- Miscellaneous articles and publications
- Presentations (PowerPoint and others)
- Training programs and activities
- Videos and other multimedia works
- SANREM related photos
- Data sets

Annual research activity report

The SANREM CRSP is required to submit a technical progress report to USAID annually. This report describes the past year's activities including technical, scientific, managerial information and associated research products. The report consists of seven sections and associated tables. The SANREM CRSP fiscal year ends on 30 September. Each Principal Investigator is responsible for submitting their technical progress report and associated research products by **October 15** of each year to the ME in collaboration with their US and host country partners. Instructions and a template (Form 15) for preparing the annual research activity report are available in the Team Room of the SANREM CRSP website.

Semiannual reports

The SANREM CRSP requires a semiannual progress report by April 15. Semiannual report instructions and template (Form 14) are available in the Team Room of the SANREM CRSP website. Semiannual reports will not be considered complete until all SKB entries are up-to-date.

Trip reports

Within 15 days following the completion of each international trip, travelers must submit a trip report to the Lead PI, who then approves and transmits the report to the ME. If several individuals are traveling together, a single report representing the group will suffice. Templates for trip reports are available in the Team Room of the SANREM CRSP website. Trip reports should concisely cover accomplishments and critical issues encountered with annexes if necessary for more detailed information. After review, these reports will be posted by the ME on the SANREM CRSP website.

Success stories and vignettes

USAID needs and frequently requests success stories and vignettes illustrating how lives were improved by our work. USAID uses these stories with photographs to educate the public, explain how U.S. development assistance works, and demonstrate the impact USAID has on people's lives around the world. Guidelines for stories and tips for writing them include the following:

"We want to convey information that the everyday reader will care about and understand. By documenting our work to empower our recipients to help themselves, we provide clarity and transparency to our work."-USAID

To tell a compelling story, you should:

- Report on real results at the individual level.
- Tell our story about how USAID empowers people to lead a better life for themselves and their families.
- Indicate success through direct quotes from the beneficiaries themselves.
- Connect the micro-level success documented in the stories to the overall macro-level efforts of the project or program delivering the assistance.
- Illustrate the success through dynamic, candid photos of the beneficiaries in action.

Types of acceptable success stories/vignettes include:

- <u>Success story</u>. Provides a detailed overview of a program and how it has benefited others, illustrated by a powerful photograph.
- <u>Case study</u>. Describes a challenge, initiative, and results with a photograph and three 100-150 word paragraphs.
- <u>First person</u>. Focuses on one person who benefited from a USAID program or worked with USAID to create change in the community, including a background paragraph and quotes from and a picture of the subject.
- <u>Before and after</u>. Uses two photographs to show the difference in a situation between two moments of time to vividly illustrate how a USAID program made an impact, accompanied by an introduction and detailed captions.
- <u>Photo and caption</u>. Uses a powerful photo and succinct caption to illustrate how USAID is making a difference, along with two or three paragraphs of text to provide background.

- <u>Best practice</u>. USAID wants to capture our best practices in photos and videos, so that we can share these with others within the agency, and in the international development community. We want to convey information that the everyday reader can care about and understand.
- <u>Video and story</u>. USAID needs your stories to educate the public about our programs, explain how U.S. development assistance works, and demonstrate the impact USAID has on peoples' lives around the world. In particular, video can bring a story to life so that we convey information that the everyday reader can care about and understand.

The SANREM communications coordinator can provide expertise in crafting stories for these and other media, including newspapers and television, university magazines, and newsletters of non-governmental organizations such as the Association for International Agriculture and Rural Development (AIARD). Photographs are essential for pitching stories to magazines and electronic media. Images for print media must be digital and high resolution, at least 300 dpi.

E-mail newsletter items and story ideas to Associate Program Director Keith M. Moore, <u>keithm@vt.edu</u> or Editor/Communications Coordinator Amy Loeffler, <u>amy.loeffler@vt.edu</u>.

Report	Due date
Semiannual progress report	April 15
SANREM-generated knowledge and information products	Continually add to web-based SKB
Trip report	Within 2 weeks of trip completion
Annual work plan and budget	August 15 (Year 2 and beyond)
USAID Indicators	August 31
Annual research activity report	October 15
Annual training report	October 15 as part of annual report

Deadlines for SANREM CRSP reports

Publications, other information resources, and data sets

Data collected using SANREM CRSP funds are considered to be in the public domain and must be released to the public within a reasonable period of time. SANREM CRSP ME will withhold data sets submitted by PIs for up to one year before release to facilitate publications and scholarly activities by PIs, but ultimately all SANREM CRSP generated data must be made available to the public with proper documentation (metadata) so that it can be used by others. Release of data may take one of several forms, all described below. Before data are released, full sharing of all data collected is expected among collaborating individuals and institutions. Data may be released through the SANREM web site, publication in professional journals, through publication as SANREM CRSP technical and annual reports, and ultimately as the raw data with appropriate meta data and processing to correct errors, protect respondent confidentiality, and facilitate use by other researchers and development specialists. All publications resulting from SANREM CRSP support are expected to show joint authorship of US and host country scientists. CCRA publications are expected to credit the meaningful contributions of LTRA partners. Co-authorship implies that collaborators make an intellectual investment and take responsibility for the contents. Credit may take the form of joint authorship, acknowledgements, or other forms of credit as mutually agreed consistent with disciplinary norms and professional ethics.

Publication in professional journals is strongly encouraged and is used as an indication of the quality of the research conducted. Publication in open access journals that allow free web-based access by developing country scientists and professionals is preferred. Thousands of journals now exist in this category. One list of such journals is available at http://www.doaj.org/.

The order in which authors are listed will be decided among the involved researchers on a case-by-case basis. However, host country collaborating scientists who have made significant contributions to the reported research <u>must</u> be included as authors or co-authors of the papers generated from the site research. All collaborators are expected to be involved with data collection, analysis, and preparation of the paper. Acknowledgment of the SANREM CRSP and USAID is required in all publications.

After publication and/or clearance with the involved researchers, data may be released by the CRSP through various means. These means would include response to specific requests and/or the SKB.

All data sets and collection activities financed using federal funds must comply with the following:

- 1. OMB Circular A-16 Coordination of Geographic Information and Related Spatial Data Activities
- 2. ADS 507 Freedom of Information Act
- 3. ADS 551 Data Administration
- 4. ADS 557 Public Information

Newsletter

SANREM CRSP Newsletter is published by the ME semi-annually. Its purpose is to share information and developments of interest with our network of collaborators. It includes activities and accomplishments of U.S. and host country PIs, new publications available, notice of and reports on workshops and meetings, and other information of special interest. Information for newsletter stories is requested from the PIs and our collaborators.

In providing material for the newsletter, consider the following elements:

• Who? List names of key participants, mention anyone else significantly involved, and say who benefited from the event or activity.

- What? Briefly describe the event or accomplishment, and say what specific technology or research it entailed.
- Where? Besides identifying the country, province, and town or village, give a short description of the area and its inhabitants, and explain why the activity happened there.
- When? Specify dates, time span, and season so the reader knows why the action took place then.
- Why? Show what led up to the action or event, and why it matters to people.
- How? Give details of the logistics involved, including obstacles faced.
- Who cares? An event or activity is interesting and exciting that is, newsworthy only if it has an impact on people's lives and wellbeing. Include a brief statement of why it matters.

Website and Facebook pages

SANREM partners, development practitioners, policymakers, other stakeholders, and the public are informed of SANREM CRSP activities and announcements through the ME-maintained SANREM website, <u>http://www.oired.vt.edu/sanremcrsp</u>, which is used to archive and disseminate all SANREM CRSP related information products and news.

SANREM also has a page on Facebook, updated regularly with links to news and information about conservation agriculture, natural resource management, and ecological issues globally: <u>http://www.facebook.com/home.php?#/pages/SANREM-CRSP/69503719402?ref=ts</u>. Partner contributions to the SANREM Facebook page are welcomed.

Individual SANREM CRSP activities are encouraged to maintain their own websites and others means of knowledge dissemination; however, it is essential that all SANREM CRSP knowledge resources are simultaneously accessible through the main SANREM CRSP website.

Research briefs and notes, policy briefs and notes

SANREM is expected to produce easily accessible and understandable information on critical sustainable agriculture and natural resource management issues for policy makers and donors. SANREM uses Research Briefs, Research Notes, Policy Briefs, and Policy Notes for this purpose. The target audiences for these publications are decision makers who are less concerned about research per se and want research findings and policy relevant information. Research and Policy Briefs and Notes should be written in clear, jargon-free language that quickly sets out the context and specifics of the material being presented. If technical terminology is used, it should be defined in the publication. The publication types and formats are described below.

<u>Research brief</u>: a concise summary of original research findings that have been published in a peerreviewed journal or other peer-reviewed format. Contents will vary depending on subject matter, but should focus on significant findings with sustainable development implications. Methodological issues should be addressed where relevant and may constitute a significant component of the brief. The intended audience is primarily other researchers and development agents, and secondarily, policy decision-makers and students.

<u>Research note</u>: a concise summary of significant research findings, which have not yet been published in a refereed publication. The findings should be significant enough to merit early circulation prior to publication in an academic publication. Contents will vary depending on subject matter, but should focus specifically on the findings or methodological issues. The intended audience is primarily other researchers and development agents, and secondarily, policy decision makers and students.

<u>Policy brief</u>: a concise summary of peer-reviewed findings with direct policy implications or recommendations for sustainable development. The objective is to provide decision makers with easily accessible policy-relevant information and to deepen understanding of often complex policy issues. The intended audience is primarily decision makers and, secondarily, other researchers and development agents.

<u>Policy note</u>: a concise summary of recent SANREM CRSP research findings with direct policy implications, which have not yet been published in a refereed publication. The intent is to raise awareness concerning critical sustainable agriculture and natural resource management issues and increase decision makers' understanding of the implications of potential policy actions. The intended audience is primarily decision makers and, secondarily, other researchers, development agents, and students.

USAID/SANREM Acknowledgement of Support

Publications and presentations resulting from activities wholly or partially funded by the SANREM CRSP should acknowledge USAID support with the following statement.

"This publication/presentation was made possible by the United States Agency for International Development and the generous support of the American People for the Sustainable Agriculture and Natural Resources Management Collaborative Research Support Program under terms of Cooperative Agreement No. EPP-A-00-04-00013-00 to the Office of International Research, Education, and Development at Virginia Polytechnic Institute and State University."

Sub-awardee assurances and critical policies

Before the SANREM CRSP can award funding to any organization, an authorized representative of the organization and lead principal investigator of the activity must agree to the following:

- Submit annual work plans by August 15 of each year.
- Submit annual USAID performance monitoring indicators data by August 31 of each year.
- Submit semiannual and annual research progress reports by April 15 and October 15, respectively, of each year.
- Obtain J-1 visas through TraiNet for all host country trainees and students studying in the United States who are supported by SANREM, including those who entered the United States prior to SANREM support with non J-1 visas.
- Provide SANREM CRSP financial support only for students who are U.S. citizens, permanent residents, or host country nationals. Students from other countries may be cost-shared to the project.
- Follow SANREM's USAID Marking and Branding Policy in the publication of all papers, reports, articles, book chapters, and presentations, and provision of equipment to host country partners.
- Describe any project activities involving pesticides, genetically modified organisms, deforestation activities, or discharge of wastes. Such practices will require sub-awardees to prepare a Pesticide Evaluation and Review and Safe Use Action Plan (PERSUAP) amendment to the Initial Environmental Examination (IEE) as defined by 22 CFR 216 and IEE and obtain approval by the ME and USAID before the proposed activities can be implemented.
- Comply with SANREM CRSP pipeline policies, which de-obligate unexpended funds from the previous year's budget (carryover) exceeding 10 percent of the previous year's allocation. Exceptions may be made if they are requested in writing 30 days before the end of the budget year and approved by the ME.
- Provide copies of all project-generated information resources to the ME, enter metadata on the resources into the SANREM Knowledgebase (SKB), and upload the actual information resources (if they are not copyrighted) to the SKB as they are developed/published.
- Provide the ME with all data, associated metadata, and materials generated through SANREM CRSP funding within six (6) months of the termination of the LTRA. At the request of LTRA PIs, data may be kept confidential for up to one additional year.

Failure to comply with these items will result in either withholding of invoice reimbursements until compliance is achieved or termination of the award.

Environmental compliance (PERSUAP)

The SANREM CRSP, like all USAID projects must comply with the Title 22 Part 216 of the Code of Federal Regulations (22 CFR 216). USAID's Environmental Compliance Procedures booklet (available at: http://www.usaid.gov/our_work/environment/compliance/regulations.html) explains how projects comply. SANREM CRSP already has submitted and USAID has approved an Initial Environmental Examination (IEE). However, any SANREM CRSP activity using "pesticides" in a very broad sense of the word (including biopesticides, synthetic pesticides, or pheromones) must submit and have approved a Pesticide Evaluation Review and Safe Use Action Plan (PERSUAP) before work with pesticides can begin. The PERSUAP provides the required information as stated in section 216.3(b) "Pesticide Procedures". The following provides instructions for completion of the PERSUAP. Examples of completed reports are available from the Management Entity (ME) upon request.

In addition to its original role in requesting authorization for the SANREM CRSP to use pesticides, the PERSUAPs prepared for SANREM CRSP programs are expected to be read and used by program personnel. The report contains important information on pesticide characteristics, human and environmental risks, and means to reduce those risks. The reports also outline the obligations programs have to ensure that workers associated with the project (be they researchers, technicians, or farmers) possess the necessary knowledge and skills to use pesticides safely for on-station or on-farm research. Ensuring the availability of proper personal protection equipment (PPE) is an obligation when working with toxic substances.

No pesticides can be used until a PERSUAP is submitted to USAID and <u>approved</u>. Please be aware that the proposed use of Toxicity Class I or II pesticides and Restricted Use Pesticides will require a strong justification.

For simplicity, all plant protection products will henceforth be referred to as "pesticides."

Steps in Completing a PERSUAP

There are two parts for each research activity's PERSUAP: (1) the Pesticide Evaluation Report (PER), which is (a) composed of research project objectives, justifications, and context for which pesticides will be used and (b) a description of each proposed pesticide, including justification, potential risks, and mitigation procedures (Form 24B); and (2) the Safe Use Action Plan (SUAP), detailing the national regulatory environment of the host country and the methods that will be used to ensure safe use. Please use the outline in Form 24A, "PERSUAP Narrative", to prepare your PERSUAP application.

For all SANREM CRSP LTRA activities that involve the use of pesticides, the following information is required. Only one PERSUAP is needed for each country or region. However, each and every pesticide proposed for use must be accompanied by <u>Form 24B</u>, <u>"Pesticide Questionnaire"</u>. PERSUAPs with incomplete or insufficient information will be returned to PIs.

It is the responsibility of PIs to coordinate with their host country partners to obtain the information required in the PERSUAP proposal. Once completed, PIs shall submit the PERSUAP Narrative (Form 24A) along with Form(s) 24B (Pesticide Questionnaire) to the ME. The ME will finalize your submission to USAID based on your completed PERSUAP application. PERSUAP related forms are available in the Team Room of the SANREM CRSP website.

In brief, the steps to completing a PERSUAP are:

- 1. Read the PERSUAP Instructions (Form 24).
- 2. Complete the narrative as outlined in Form 24A (PERSUAP Narrative) once for each proposal.
- 3. Complete Form 24B (Pesticide Questionnaire) for each proposed pesticide.
- 4. Submit the forms to Mike Mulvaney at mulvamj@vt.edu

Compliance: Budget and Implementation

The annual budget for a program cannot be released until the information requirements for the PERSUAP are submitted to the ME. It is the responsibility of the ME to assemble and submit the PERSUAP application to USAID. However, money for pesticide procurement and use cannot be spent from the approved budget until the PERSUAP is approved by USAID.

Any specific activity for which a pesticide is being proposed cannot be carried out until a PERSUAP that authorized the use of that pesticide has been submitted by the ME and approved by USAID.

Biotechnology Policy

If an activity will potentially involve the use of genetically modified organisms in research, field trials, or dissemination, the activity must be reviewed and approved for compliance with applicable U.S. requirements by USAID's Biosafety Committee before the obligation of funds and before transfer, testing, or release of biotechnology products into the environment.

Export Controls

It is understood that both parties are subject to U.S. laws and regulations controlling the export of certain items, commodities, defense articles, confidential information, propriety technical data or source code, collectively hereafter referred to as "items." Each party is obligated to comply with applicable U.S. export laws and regulations (including the Arms Export Control Act, as amended and the Export Administration Act of 1979).

The Bureau of Industry and Security implements and enforces the Export Administration Regulations (EAR). Some items, listed below, are required be licensed in order to export. EAR restrictions vary from country to country, and can be found on the EAR Database: http://www.access.gpo.gov/bis/ear/ear_data.html#ccl

The following items are subject to the EAR:

- All items in the United States, including in a U.S. Foreign Trade Zone or moving in-transit through the U.S. from one country to another;
- All U.S. origin items wherever located;
- U.S. origin parts, components, materials or other commodities integrated abroad into foreignmade products, U.S. origin software commingled with foreign software, and U.S. origin technology commingled with foreign technology;
- Certain foreign-made direct products of U.S. origin technology or software;
- Certain commodities produced by any plant or major component of a plant located outside the U.S. that is a direct product of U.S.-origin technology or software.

The EAR Decision Tree provides simplified guidance to determine when research is subject to the EAR and when a technology control plan will be required. http://www.oesrc.researchcompliance.vt.edu/assets/docs/EAR dt.pdf

For more information, consult the Virginia Tech's Office of Export and Secure Research Compliance website: <u>http://www.oesrc.researchcompliance.vt.edu/</u>

For additional questions, contact the SANREM CRSP program director.

Appendixes

I. SANREM CRSP budget guidelines

- **Cost Sharing** U.S. institutions, IARCs, and non-host country organizations are required to provide a 25 percent matching commitment (see budget notes on SANREM CRSP website for detailed instructions).
- Indirect Costs for US institutions, IARCs, and non-host country organizations For all applications, indirect costs are limited to the lesser of federally negotiated off-campus research rates or 30 percent of modified total direct costs for U.S. universities, IARCs, and non-host country organizations. No indirect costs are allowed on equipment and student tuition.
- Indirect Costs on Host Country Sub-awards Indirect costs by lead institutions on sub-awards to host country organizations are prohibited. Indirect costs for host country institutions and organizations are limited to 10 percent for organizations without formal indirect cost rate agreements and up to a maximum of 30% for those with formal indirect cost rate agreements.
- **Sub-awards** The SANREM CRSP sub-award policy is designed to maximize the amount of funding going to host country organizations.

Lead institutions, who waive indirect costs on sub-awards to host country organizations, may administer the host country organization sub-awards and the sub-awards with indirect costs to other participating US partners and IARCs.

If the lead institution is unable to waive host country organization indirect costs, then the ME (OIRED/VT) will manage sub-awards for the host country organizations, US partners, and IARCs for the lead institution. The lead institution is still responsible for managing the programmatic components of the research activity. Virginia Tech will make payments to sub-awardees on receipt of invoices and approval by the responsible lead institution PI.

This policy will be followed by all participating institutions including Virginia Tech.

Budget terminology

- Host Countries Country(ies) worked "in," "for," or "on behalf of."
- **Host Country Expenditure** Funds expended exclusively "in", "for" or "on behalf of" Host Country SANREM CRSP, i.e., Host-country graduate student stipend, equipment for a host country, salaries for staff or labor working in the host country, etc.
- **Domestic Expenditures** Funds expended "in" the U.S. "for" general SANREM CRSP, i.e., equipment for a U.S. lab, a U.S. graduate student stipend, part of or whole salaries for post-doctorates, secretaries, technicians, etc. working in the U.S.
- Academic Scientist Staff U.S. University faculty in permanent or temporary positions working in the U.S. or an LDC.
- Other Salaries Clerical or any hourly labor, i.e., work-study students or field workers.
- Supplies Chemicals, paper, tags, bags, diskettes, film, etc.
- Equipment Computer, microscope, vehicle, incubator, etc.
- **Travel** If you travel to Guatemala and back then your airfare will go under Guatemala; if you travel to Guatemala and Jamaica on the same trip, then 1/2 your airfare will go under Guatemala and the other half under Jamaica. All travel which is done exclusively in the U.S. will go under U.S.

II. SANREM CRSP directory

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SANREM CRSP External Assessment Panel (EAP)

The EAP is being reconstituted and membership is yet to be determined.

III. Glossary and acronyms

Glossary

- Administrative Officer's Representative (AOR) is the key point of contact between the SANREM CRSP and USAID for program and administrative matters.
- Administrative Principal Investigator is the Director of the Office of International Research, Education, and Development (OIRED) at Virginia Tech, and the person ultimately responsible to USAID for administrative and fiscal matters.
- Board of Directors provides policy guidance to the ME.
- **Domestic Expenditures** are funds expended "in" the US. "for" general SANREM CRSP activities; i.e., equipment for a US lab, a US graduate student stipend and tuition, salaries for secretaries, technicians, etc. working in the US.
- **External Evaluation Panel** (EAP) provides unbiased review and prioritization of activity proposals and objective evaluations of the program and its activities suggesting areas for improvement.
- Host Countries are developing countries in which USAID has a presence and SANREM CRSP activities are being conducted.
- **Host Country Expenditures** are funds expended exclusively "in", "for", or "on behalf of" SANREM CRSP Host Countries, i.e., host country graduate student tuition and stipend, equipment for a host country, salaries for staff and/or labor working in the host country, etc.
- **Lead-PI** is from the lead U.S. university who has been elected by his Co-PIs to provide leadership and representation of the LTRA team on the TC.
- **Long-Term Research Activity Teams** (LTRA Teams) are the coordinating body for the implementation of long-term research activities led by a Lead PI.
- **Management Entity:** The SANREM CRSP is administered as a Leader with Associates Award to Virginia Tech, which is the Management Entity (ME) that provides program leadership, administers sub-awards to participating institutions, and maintains fiscal responsibility.
- **Principal Investigators** are scientists in charge of research for a defined research activity of a CRSP.
- **Program Director**, as part of the ME, is responsible for developing the program, coordinating the activities across the program and overseeing daily operations of the SANREM CRSP.
- Research Activities include the sub-activities of training, research, and technology transfer.
- **Site Coordinators** are host country long-term research activity leaders responsible for coordinating the research activity in the host country.
- **Sub-Award Agreement** is a contract representing a sub-agreement made between the ME and a participating institution under authority of a cooperative agreement by the ME with USAID.
- Technical Committee (TC) provides technical guidance and advice for the program development.
- **USAID Mission** is the USAID unit in a developing country led by a Mission Director, or a Country Representative.

Acronyms	(includes acronyms for former SANREM CRSP partner organizations)
AC, ACF	Advocacy Coalitions, Advocacy Coalitions Framework
ADRA	Adventist Development and Relief Agency International, Title II USAID
ASABE	American Society of Agricultural and Biological Engineers
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central
	Africa
ASFADA	Arabuko Sokoke Forest Adjacent Dwellers Association
ASTER	Advanced Spaceborne Thermal Emission and Reflection Radiometer
AVRDC	World Vegetable Center (formerly Asian Vegetable Research and
DAD	Development Center)
BAP	Bolivian Andean Platform
BARC	Bangladesh Agricultural Research Council
BIFAD	Board for International Food and Agricultural Development
BMP	Best Management Practice
Board	Board of Directors
CAPRI	CGIAR Systemwide Program on Collective Action and Property Rights
CARDI	Caribbean Agricultural Research and Development Institute
CARPE CATIE	Central African Regional Program for the Environment Centro Agronómico Tropical de Investigación y Enseñanza
CEFS	Center for Environmental Farming Systems
CERES	Center for the Study of Economic and Social Reality
CF, CFU	Conservation Farming, Conservation Farming Unit
CGIAR	Consultative Group on International Agricultural Research
CI	Conservation International; Complementarity Index
CIDES	Centro de Investigaciones del Desarrollo Económico y Social
CIFOR	Center for International Forestry Research
CIP	Centro Internacional de la Papa (International Potato Center)
CIPCA	Centro de Investigación y Promoción del Campesinado
CIRNMA	Centro de Investigación de Recursos Naturales y Medio Ambiente
COMACO	Community Markets for Conservation
CPA	Community Participatory Assessments
CRC	Collaborating Research Centers
CRSP	Collaborative Research Support Program
CTC	Community Trading Center
DEM	Digital Elevation Model
DLSU	de la Salle Université, Philippines
DRIFT	Diffuse Reflectance Fourier Transform Infrared Analysis
EAP	External Assessment Panel
ECOCIENCIA	Fundación Ecuatoriana de Estudios Ecológicos
ECOPAR	Corporación para la Investigación, Capacitación y Apoyo Técnico para el
ECAT	Manejo Sustentable de los Ecosistemas Tropicales
EGAT	USAID Bureau for Economic Growth, Agriculture and Trade
EGAT/NRM	EGAT's Office of Natural Resources Management External Review Panel
ERP	
ESRI FAO	Environmental Systems Research Institute Food and Agriculture Organization of the United Nations
FFH	Food for the Hungry, Title II USAID
GEF	Global Environment Facility
GIS	Geographic Information System
GMO	Genetically Modified Organisms
	concerning into an experimente

CDC	Clabel Desidening Contents
GPS	Global Positioning System
HEPS	High Energy Protein Supplement
IAD	Institutional Analysis and Development Framework
IASC	International Association for the Study of the Commons
IARC	International Agricultural Research Center.
ICM	Integrated Crop Management
ICRAF	International Centre for Research in Agroforestry
ICRISAT	International Crops Research Institute for the Semi-arid Tropics
IDE	International Development Enterprise
IFPRI	International Food Policy Research Institute
IFRI	International Forestry Resources and Institutions
IITA	International Institute of Tropical Agriculture
INIAP	Instituto Nacional Autónomo de Investigaciones Agropecuarias
IPCC	Intergovernmental Panel on Climate Change
IPM	Integrated Pest Management
IPPS	Instituto de la Pequeña Producción Sustentable
IRPC	International Rural Poultry Centre
IRRI	International Rice Research Institute
ISU	Iowa State University
KASAP	Knowledge, attitudes, skills, aspirations, practices
KEFRI	Kenya Forestry Research Institute
KSU	Kansas State University
LGU	Local Government Unit
LRT	Local Research Team
LRMT	Land Resources Management Team (EGAT/NRM)
LTRA	Long-term Research Award
MAPA	Market Access and Poverty Alleviation Project, USAID
MARD	Ministry of Agricultural Research and Development
ME	Management Entity
MM	Manupali Model
MOSCAT	Misamis Oriental State College of Agriculture and Technology
MOU	Memorandum Of Understanding
MSI	Minority-Serving Institution
NAC	National Advisory Council, National Advisory Committee
NARS	National Agricultural Research Service
NCA&T	North Carolina Agricultural and Technical State University
NCEAS	National Center for Ecological Analysis and Synthesis
NCI	Net Complementarity Index
ND	Newcastle disease
NEPAD	New Partnership for Africa's Development
NGO	Non-Governmental Organization
NIR	Near Infrared
NLU	Nong Lam University, Vietnam
NPCC	Native Plant Conservation Campaign
NPVP	Native Potato Varieties Program
NRM	Natural Resource Management
OSIENALA	Friends of Lake Victoria
PA	Participatory Appraisal
PEN	Poverty and Environment Network (at CIFOR)
PES	Payments for Environmental Services
PFM	Participatory Forest Management
* * 17F	r and parting r orost management

PI	Principal Investigator
PMCA	Participatory Market Chain Approach
PNCC	Programa Nacional de Cambios Climáticos
PR	Participatory Research
PRA	Participatory Rural Appraisal
PROINPA	
	Fundación PROINPA (Promoción e Investigación de Productos Andinos)
PROMIC	Programa Manejo Integral de Cuencas
RHA	Rapid Hydrologic Assessment
RMA	Rapid Market Appraisal
SA	Sustainable Agriculture
SANREM	Sustainable Agriculture and Natural Resource Management
SEA	Southeast Asia
SENAMHI	Servicio Nacional de Meteorología e Hidrología de Perú
SIGAGRO	Sistema de Información Geográfica Agropecuaria
SKB	SANREM Knowledgebase
SLDF	Sabaot Land Defense Force
SNA	Social Network Analysis
SRTM	Shuttle Radar Topography Mission
STC	Save the Children, Title II USAID
SWAT	Soil and Water Assessment Tool
TC	SANREM CRSP Technical Committee
Title XII	Title XII Amendment to the International Development Food Assistance
	Act of 1975 and subsequent amendments
TraiNet	On-line USAID system for tracking training activities for foreign nationals
TSBF	Tropical Soil Biology and Fertility Institute
UC	University of California; Universidad de la Cordillera
UConn	University of Connecticut
UFRIC	Uganda Forestry Resources and Institutions Center
UMSA	Universidad Mayor San Andrés
UMSS	Universidad Mayor de San Simón
UNA	Universidad Nacional del Altiplano
UNALM	Universidad Nacional Agraria la Molina
UNAM	Universidad Nacional Autónoma de México
	Instituto de Investigaciones Sociales de la Universidad Nacional Autónoma
UNAM-IIS	de Mexico
UNDP	United Nations Development Program
UNZA	University of Zambia
UPLB	University of the Philippines-Los Baños
USAID	United States Agency for International Development
USAID/W	USAID's Washington headquarters
USGS	United States Geological Survey
VT	Virginia Tech
WAC	World Agroforestry Center
WCS	Wildlife Conservation Society
WFP	World Food Program
WVC	World Vegetable Center
ZAWA	Zambian Wildlife Authority