

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

USAID/South Africa

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Mr. Frank Ferrari  
Senior Vice President  
The African-American Institute  
The Braamfontein Center  
23 Jorrisen Street  
Johannesburg 2001  
South Africa

Subject: South Africa Support to Tertiary Education  
Project; Grant Agreement with the African-American  
Institute (AAI); Agreement No. 674-0309-G-SS-3056-00

Dear Mr. Ferrari:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, and the Comprehensive Anti-Apartheid Act of 1986, as amended, the Agency for International Development (hereinafter "USAID") hereby enters into this Grant Agreement (hereinafter "Agreement" or "Grant") with the African-American Institute (hereinafter "AAI" or the "Grantee") and obligates the sum of \$1,600,000.00 to provide support for a program described in Attachment 1, entitled "Schedule," and Attachment 2, entitled "Program Description," of this Agreement.

This Agreement is effective and obligation is made as of the date this letter is signed by an authorized USAID representative. The Agreement and obligation shall apply to commitments made by the Grantee in furtherance of program objectives during the period beginning on the effective date of this letter and ending September 30, 1995.

This Agreement is entered into with the Grantee on the condition that the funds will be administered in accordance with the terms and conditions set forth in Attachment 1, "Schedule," Attachment 2, "Program Description," Attachment 3, "Standard Provisions," Attachment 4, "A.I.D. Geographic Code 935 List" and Attachment 5, "Grantee Certifications." (Grantee Signatures Required). This letter and the five attachments just described, which have been agreed to by your organization, constitute the Agreement.

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Please sign the original and one (1) copy of this letter and then return the original to USAID/Pretoria.

Sincerely,

*Leslie A. Dean*

Leslie A. Dean  
Director

Date: August 5, 1993

ACKNOWLEDGED AND ACCEPTED  
African-American Institute (AAI)

\_\_\_\_\_  
By: Mr. Frank Ferrari  
Title: Senior Vice President  
Date:

Attachments:

1. Schedule
2. Program Description
3. ~~Standard Provisions and Additional Provisions-as~~  
Applicable
4. A.I.D. Geographic Code 935 List
5. Grantee Certifications (Grantee Signatures Required)

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FISCAL DATA AND CLEARANCES:

1. Fiscal Data:

Agreement No: 674-0309-G-SS-3056-00

Grantee: The African-American Institute

Appropriation: 72-113/41014

BPC: GSS3-93-21674-KG13

Reservation Control No: B930189

Amount: \$1,600,000.00

Total Project Obligations to Date including Current Grant  
Obligation: \$30,704,357.00

Total Project Authorization Amount: \$110,000,000.00

Agreement Completion Date: 09/30/95

Project Assistance Completion Date (PACD): 06/30/2000

Funds Available                       
Lorraine Kew, ACCT

Date 08/05/93

2. Clearance Page for Action Memorandum and Grant Agreement  
Letter and Attachments 1-5:

Drafted: DNgatane, PDO DNgatane  
MJohnsonPizarro, PDO MJP  
Cleared: WDuncan, PHRDO WD  
DEvans, HRDO DE  
GHensley, CONT GH  
JAddleton, PRO JA  
DKeene, RLA DK  
~~DRathbun, DD DR~~

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ATTACHMENT NO. 1  
SCHEDULE

I. OVERVIEW OF AGREEMENT

The purpose of this Agreement is to provide funds to the African-American Institute (AAI), who in partnership with the Educational Opportunities Council (EOC), will administer and manage a two-year human and institutional resources development program with the eight historically black universities (HBUs) in South Africa. Short-term training, research opportunities, and skills enhancement in the U.S. and South Africa for black South African faculty and scholars will be provided through the Grant. Institutional strengthening targets include: (1) the strengthening of specific departments in priority areas of need for the HBUs that are consistent with USAID/SA's emphases and focus; (2) enhanced ability to manage the balance between research and teaching responsibilities; and (3) the development and institutionalization of human resources planning processes and structures at all of the HBUs. The Grant Agreement directly supports participant training costs and those costs associated with the administration of the training by AAI and LOC.

II. PERIOD OF AGREEMENT

The effective date of this Agreement is the date the cover letter is signed by an authorized USAID representative. Unless otherwise agreed to by USAID in writing, the expiration date is September 30, 1995, meaning that no USAID funds under this Agreement shall be applicable to goods not furnished or services not performed for the program by this date.

III. AGREEMENT FUNDING AND PAYMENT

A. USAID hereby obligates the amount of \$1,600,000 for eligible program expenditures under this Agreement.

B. Payment under this Grant shall be made by means of a Letter of Credit (LOC) in accordance with the terms and conditions of the LOC and any instructions issued by A.I.D.'s Office of Financial Management, Cash Management and Payment Division, Letter of Credit Branch (FA/FM/CMP/LC). As long as the LOC is in effect, the terms and conditions of the LOC and any instructions issued by FA/FM/CMP/LC constitute payment conditions of this Grant, superseding and taking precedence over any other provision of this Grant concerning payment.

IV. FINANCIAL PLAN

A. Financial Plan

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The Financial Plan for funds obligated under this Agreement is set forth in Table 1 below. Revisions of this Plan shall be made in accordance with Mandatory Standard Provision 4 of this Agreement, located in Attachment 3 and entitled "Revision of Grant Budget." The Recipient is authorized a 15% deviation between line items, provided that USAID is notified in writing of such budget changes in the Grantee's following Disbursement Report. However, any deviation in excess of 15%, or any increase in the total Grant, must be approved in advance in writing by the Director, USAID/South Africa.

Set forth in Attachment 2, Section VI., is a more detailed illustrative financial plan.

Table 1

Financial Plan  
(U.S. Dollars)

| <u>Item</u>                 | <u>Total</u>       |
|-----------------------------|--------------------|
| <b>Participant Costs</b>    | \$1,154,950        |
| <b>Program Costs</b>        |                    |
| 1. United States            | \$ 230,684         |
| 2. South Africa             | 68,784             |
| <b>Evaluation</b>           | \$ 11,000          |
| <b>Administrative Costs</b> | \$ 134,582         |
| <b>GRAND TOTAL</b>          | <b>\$1,600,000</b> |

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B. Level of Assistance

The total amount in the Illustrative Financial Plan (Table 1 above) is the maximum available under this Agreement. In no event will the total amount provided to the Recipient under the Agreement exceed the obligated Dollar amount provided for in Section III above.

V. REPORTING

The Grantee will submit to USAID, in a timely manner, written semi-annual progress reports on activities funded and general performance under the Agreement. The semi-annual reports should include a brief description of program accomplishments during the preceding six months and a discussion of any problems encountered and how they were resolved. The Grantee will also submit, in a timely manner and in a format to be mutually agreed upon by the parties hereto, a written final report on all activities financed by the Agreement and any evaluation reports as described in Attachment 2.

## VI. OVERHEAD RATE

The budget for this Agreement provides funding to cover indirect administration costs of \$134,582.00, based on 61.75% of total direct costs.

## VII. TITLE TO PROPERTY

Title to all property purchased under this Agreement shall vest in the Grantee in accordance with the terms of Attachment 3, Additional Standard Provision 21, entitled "Title to and Use of Property."

## VIII. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for all procurement with A.I.D. funds under the Agreement is the United States, the Republic of South Africa and countries included in A.I.D. Geographic Code 935, meaning that all goods and services financed by this Agreement shall have, with respect to goods, their source and origin and, with respect to the suppliers of services, their nationality in the United States, the Republic of South Africa or in other countries included in A.I.D. Geographic Code 935. To the maximum extent practicable, goods and services financed with funds provided under this Grant should be procured from the United States. Please refer to Attachment 4 for a list of countries included in Code 935.

## IX. SPECIAL PROVISIONS

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### A. Program Special Provisions

1. **Subgrant with the Educational Opportunities Council (EOC):** AAI will provide a subgrant to EOC to carry out substantial technical activities under the Grant. These activities will include: working closely with the HBUs to analyze and assess staff development needs; assisting in the development of the selection and nomination processes and structures for the program; managing the advertisement, nomination, and selection of participants for the program; assisting in the articulation of the training desired and the completion of the training dossiers; designing and implementing an effective pre-departure orientation; and processing the participants for departure.

EOC will also play a major role in the repatriation and follow-on activities for the participants and the evaluation of the program.

2. **Establishment of a National Selection Committee:** AAI, EOC, and USAID have agreed to the formation of a National Selection Committee comprised of a representative from each HBU, one from AAI, EOC, and USAID, and three other persons of national prominence from the private sector or representatives of other key segments of South African society will be convened for the purpose of guiding the definition, selection,

convened for the purpose of guiding the definition, selection, and evaluation of the program. Overall, the committee will consist of fourteen (14) members.

**3. Establishment of a Staff Development Structure and Process at the HBUs:** AAI and EOC will work closely with the HBUs to establish an effective and sustainable structure and process at each of the HBUs for the assessment and planning of staff development and the identification and coordination of internal and external resources. An important beginning function for those responsible for staff development at each HBU will be the nomination of candidates for the Faculty Skills Enhancement Program.

**4. Selection Criteria:** Within the first sixty (60) days of the Grant, AAI and EOC will develop Selection Criteria for USAID/SA approval to guide the nomination and selection of candidates for the program.

**5. Fields of Study:** AAI agrees that candidates for training under this Program will be in fields of study that are priority areas for USAID/SA support and that reflect critical areas of need for the HBUs. Those priority areas for USAID/SA are Administration and Management, Economics (including Development Economics), Finance, Public Administration, Private Sector Development, Governance and Democracy, Rural Development, and Housing. Cases can be made for other fields of study with strong written justification to USAID/SA for consideration and approval.

**6. Gender/Racial Targets:** In accordance with STEP requirements, all candidates for program support under this Agreement will be black (includes Africans, so-called Coloreds, and those of Asian descent). AAI will aim for at least 40% participation of women in this activity.

**7. HBCU Placements:** A target of at least 50% placement of faculty in Historically Black Colleges and Universities (HBCUs) in the U.S. has been set for this activity.

**8. Implementation of HB10 Policies:** AAI agrees to implement the guidelines and policies for participant training contained in A.I.D. Handbook 10.

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**9. Monitoring of Participants:** AAI program staff will monitor the participants closely to ensure that the training matches the faculty members' professional aspirations and the departmental and institutional needs of the HBUs. AAI will take corrective measures, as necessary, to address and resolve any problems or issues arising during the program.

**10. Program Evaluation:** In addition to the participant evaluations, the evaluation of the receiving U.S. university at the end of the training period, and an assessment of the faculty members by the HBU to which they will return, an impact evaluation by an external evaluator at the end of the

Grant Agreement period will be conducted. The evaluation scope will include, but not be limited to, assessments of the following: (1) the benefit of the program to the participants' professional development, job performance, ability to do research and manage the balance between research and teaching responsibilities; (2) the benefit of the program on departmental and institutional levels; (3) the potential for replication of the program and opportunities for sharing the skills in South Africa with other universities and tertiary institutions; (4) the cost effectiveness of the program; (5) the progress in the development of a structure and process for staff development at each university; and (6) the extent to which effective linkages between universities within South Africa and with U.S. universities have been forged.

## B. Operational Special Provisions

### 1. Procurement

(a) Scope: This provision is applicable to the extent that local cost financing is otherwise authorized by the Agreement. It does not require procurement in South Africa where offshore procurement could otherwise occur.

(b) Policy: In the procurement of goods and services in South Africa, the Grantee shall, to the maximum extent practicable, award contracts to individuals who or organizations which have been disadvantaged by apartheid and are responsive and appropriate providers of goods and services.

(c) Definitions: Individuals and organizations disadvantaged by apartheid shall mean: (1) South African individuals of black, "colored" or Asian descent whose principal place of business is in the Republic of South Africa; and (2) private partnerships or commercial firms which are incorporated in or organized under the laws of the Republic of South Africa, whose principal place of business is in the Republic of South Africa, and which are more than 50 percent beneficially owned by South African persons of black, "colored" or Asian descent. The Republic of South Africa includes the so-called "independent" and "self-governing" homelands.

2. Competition: Except as otherwise provided in Sub-Section B.1 above, all procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, free and open competition.

3. Staff Recruitment: The Grantee agrees that all staff recruitment for positions funded by USAID will be carried out through an appropriate competitive process and that salary levels will be in accordance with community and professional standards.

4. Travel and Per diem: The Grantee will provide for USAID

program participants. The travel and per diem rates established under such policy shall not exceed U.S. Government rates. In the event the Grantee does not establish a policy, U.S. Government regulations governing travel and per diem shall apply.

5. Political Affiliation: The Grantee agrees that programs funded under this Agreement will be made available to individuals and groups regardless of their political beliefs or affiliations. The Grantee shall not discriminate in its hiring practices or in the provision of its services against individuals or organizations who associate themselves with any particular political philosophy. The Grantee shall periodically review the level of actual provision of its services to assure that persons or organizations sympathetic to certain political groupings or philosophies are not intentionally excluded from activities financed by USAID.

#### XI. STANDARD PROVISIONS

The Standard Provisions applicable to this Agreement are contained in Attachment 3, entitled "Standard Provisions."

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ATTACHMENT 2  
PROGRAM DESCRIPTION

I. OVERVIEW OF AGREEMENT

The purpose of this Agreement is to provide funds to the African-American Institute (AAI) who, in partnership with the Educational Opportunities Council (EOC), will administer and manage a two-year human and institutional resources development program with the eight historically black universities (HBUs) in South Africa. Short-term training, research opportunities, and skills enhancement in the U.S. and South Africa for black South African faculty and scholars will be provided through the Grant. Institutional strengthening activities include: (1) the strengthening of specific departments in priority areas of need for the HBUs that are consistent with USAID/SA's emphases and focus; (2) enhanced faculty ability to manage the balance between research and teaching responsibilities; and (3) the development and institutionalization of human resources planning processes and structures at all of the HBUs. The Grant Agreement directly supports participant training costs and those costs associated with the administration of the training by AAI and EOC.

II. BACKGROUND

A. Support to Tertiary Education Project

This Agreement is financed under USAID's Support to Tertiary Education Project (STEP). The goal of STEP is to ensure that black South Africans are full contributors to and participants in the political, social, economic and intellectual life of their nation. To support the realization of the program's goal, the purpose of STEP is to prepare and empower black South Africans and selected institutions for positions of leadership and importance in order to promote peaceful change and transition to a nonracial democracy that is envisioned in the nation's future. STEP is, therefore, designed to promote leadership, develop human resources and support the success of black students in tertiary education institutions. Based on extensive consultations with educationists, community leaders, parents, and students, and based also on the Mission's own assessment of the Bursary Project, priority is given to education projects which: help disadvantaged South Africans cope with and overcome the inadequacies of apartheid education; are nonracial yet affirm black leadership within the organization; promote communication and resource-sharing with organizations providing similar services; and support the development of nonracial education in a post-apartheid South Africa.

## B. The African-American Institute (AAI)

AAI is a U.S. organization that has, since its inception forty years ago, primarily concerned itself with strengthening African capacities and building African institutions. AAI pursues this goal through three major program foci: (1) strengthening human resources development; (2) assist in the development of civil society; and (3) encouraging open, accountable, and effective governance. AAI's development activities, including its program undertakings, conference organizing, exchanges, and publications, have sought to strengthen African capacities to develop their human resource capabilities with emphasis placed on program sustainability and local support of its initiatives. AAI employs representatives in 23 African countries, including South Africa, who work with governments, universities and other training institutions, and the private sector in implementing training programs. It has an alumni roster of approximately 17,000 African graduates of AAI-administered short and long-term training programs. Of these, 2,700 received degrees at the Master's or Ph.D level at American universities through the African Graduate Fellowship Program (AFGRAD), an AID-funded Africa regional training project. AAI has managed approximately 75 programs at a total cost of \$350 million since 1961, including another major AID training program for the Africa region, the Africa Training, Leadership and Advanced Skills (ATLAS) project.

Under this Agreement, AAI will provide a subgrant to the Educational Opportunities Council (EOC), a black-led South African NGO that has vast experience in the successful administration and management of thousands of scholarships and bursaries. EOC will be responsible for recruitment and selection of participants, provision of predeparture orientation and coordination of the HBUs candidate review panels. EOC has established close cooperation with disadvantaged communities and tertiary educational institutions and has solid administrative structures and a history of successfully implementing and managing AID-funded programs. EOC was actively involved in the creation of the Consortium of Traditionally Black Universities and maintains frequent contact with organizations, universities and professional institutions involved in black education and development.

## III. PROBLEM

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Several decades of 'grand apartheid' in South Africa have resulted in extreme and severe inequalities between white and black communities. While current events are witnessing apartheid's dismantlement, decision-makers and experts agree that among the sectors needing the most immediate reform is education.

Within the education sector, needs at the tertiary level are significant, particularly within the historically black

universities (HBUs). These bodies, which currently educate the majority of South Africa's black higher education students who opt for study at institutions with residence facilities, have what may be the greatest absorptive capacity within the sector, but are nevertheless in the greatest need of assistance in order to realize that capacity. Since their inception, HBUs have been systematically, i.e., statutorily, disenfranchised in every aspect. Their access to capital improvements, to adequate administrative and planning structures, to faculty improvement and expansion, and to functional library facilities, among other areas, has been thwarted.

Enrollment among black South Africans at the tertiary level numbered approximately 125,000 at the start of the 1990's. More than half of these are at the eight HBUs, with the balance having enrolled at the so-called 'open universities', primarily during the mid and late 1980's.

Whilst some open universities are making genuine attempts to increase black student's enrollment, the next several decades will undoubtedly witness a majority of black South Africans continuing to be enrolled at the HBUs primarily because tuition and residence fees at HBUs are lower. Furthermore, these universities will, as in the past, graduate many among the future leaders of South Africa. The eight HBUs in South Africa all experience staffing shortages in both absolute and relative terms. This situation deteriorates further each academic year as increasing numbers of applicants face unchanging numbers of classroom seats. Despite the ongoing educational crisis within the society in general, applications to the HBUs are at their highest levels ever. This project addresses the need to expand capacity in HBUs and strengthen their ability to respond to the increasing demands upon their resources.

Support to this activity addresses two of USAID/SA's program targets: (1) increase the numbers of qualified and skilled black South Africans; and (2) strengthen selected education institutions and organizations.

#### IV. PURPOSE

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The purpose of the Agreement is to enhance the skills of black junior faculty at the eight HBUs by providing six-month research and training opportunities for them at U.S. universities, with USAID approval. The project also aims to strengthen the capacities of the HBUs at the departmental and institutional levels by focusing its support on specific departments in priority need areas, by establishing and institutionalizing a structure and process for assessing and planning staff development needs at each of the HBUs, by promoting linkages between universities and other tertiary institutions in South Africa to maximize resources, and by encouraging linkages between the HBUs and U.S. universities for the exchange of ideas and resources. The Agreement

provides funding for all of the participant costs, including travel, maintenance, insurance, orientation, and book and shipping allowances for approximately seventy (70) participants over the two-year life of the project. It also provides for the costs both in South Africa and the U.S. for administering the program.

## V. PROGRAM DESCRIPTION

### A. Goals

This two-year Agreement, which will run from date of Agreement to September 30, 1995, will focus on strengthening the HBUs capacity to assess and plan their staff development needs and on enhancing the skills of its junior faculty in specific priority program areas.

The accomplishments which are envisaged by the end of the project include:

- 1) Qualitative and quantitative improvement of the human capital in South African HBUs'. Enhancing the teaching and research capacity of 70 black South Africans in a two-year period represents a significant output for the existing body of skilled and trained manpower in South Africa.
- 2) Establishment of an effective and sustainable structure and process at each of the HBUs for assessing and planning staff development needs and identifying, mobilizing and coordinating internal and external resources for addressing the needs.
- 3) Establishment of formal ties between U.S. universities and HBUs at the departmental and administrative levels. These ties may then open the way to further relations, such as educational exchange programs and other resource sharing opportunities.
- 4) Increased opportunities for exchange between HBUs, other tertiary institutions in South Africa, and the larger community, bringing HBUs closer to the center of South Africa's overall human resources planning and development.

### B. Implementation Plan

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One of the goals of this program is to assist in the development and institutionalization of human resources planning processes and structures at the participating HBUs. To achieve this, the heads of departments who wish to nominate faculty members for training under this program will be required to do a strategic planning exercise in order to determine human resources needs under their departments.

Generally, the project envisages the first of four groups of faculty and scholars to commence study in the U.S. in September, 1993, though program announcement and creation of organizational structures would commence immediately upon the full execution of the Grant Agreement. Each of the four groups (with intakes in September and January of each of the two years; June intakes can be considered, if necessary) would include approximately 16-18 participants. Attempts will be made to ensure that each of the eight HBUs is represented in approximate proportion to their enrollment numbers without establishing specific quotas.

**1. Recruitment and Selection.** Drawing on their vast experience, relationships and existing regional staff and structures throughout South Africa, AAI and EOC will coordinate with designated representatives and offices within each of the eight HBUs and the National Selection Committee, to be formed and convened for the nomination and selection of participants. AAI and EOC will travel to each of the HBUs to describe the program and criteria for selection and provide information on the U.S. university system, research environment, and culture. Historical and other relevant aspects of the Historically Black Colleges and Universities (HBCU's) in the U.S., for example, will be discussed during these meetings. The following process will be used:

**Step 1. Development of Selection Criteria**

AAI and EOC will develop for USAID/SA approval criteria for selection of participants under this program within sixty days of the signing of the Grant Agreement. The Selection Criteria will specify the program aims, the academic requirements, the fields of study targeted, the populations targeted and at what levels, the training period, and any other pertinent information to guide potential candidates at the universities in deciding whether or not they are eligible to apply. The Selection Criteria will also guide supervisory and designated Staff Development personnel at the HBUs in screening and nominating staff and will assist the National Selection Committee in the selection deliberations.

**Step 2. Announcing the Program**

Utilizing its existing mechanisms and through contacts with appropriate persons at the HBUs, EOC will announce the program at each of the universities and initiate the nomination/selection process (Mainstream and alternative press and other media can be employed, if necessary, to announce the program). Attempts will be made to identify the person(s) or office within each university that can assume (or does have) on-going responsibility for staff development.

Publicity and application materials will be designed by EOC and will be reviewed and approved by AAI, USAID/SA and the other members of the National Selection Committee.

### Step 3. Identifying and Nominating Applicants

Selection of candidates in the current political climate is complex and requires a high degree of coordination between EOC and each of the respective universities, and between EOC, AAI and the National Selection Committee. The Selection Criteria should provide a clear basis for eligibility to apply for the program. Each application form will require a statement of nomination by the university, as well as a description of the applicant's objectives. The application will identify the proposed training topics in as much detail as possible. Candidates and their supervisors can submit proposed venues of study in the U.S. and can suggest research advisors. These will be considered during the placement process.

Designated staff at the HBUs will review and screen applications for eligibility based on the Selection Criteria before nominating candidates for selection by the National Selection Committee. Once eligibility requirements are satisfied, applications will be forwarded to EOC for further processing.

### Step 4. Screening, Interviews, and Selection by National Selection Committee

Prior to each intake of participants, a National Selection Committee, comprised of representatives from the HBUs, AAI, EOC, USAID, and other eminent appointed persons from key national bodies who are major stakeholders in the development of human resources in South Africa, will be convened. Travel and other arrangements for these meetings will be coordinated by EOC.

The National Selection Committee will, after establishing its Terms of Reference and appointing a Chairperson, review candidate dossiers against the selection criteria and national and institutional priorities, conduct interviews, if feasible or required, and make the final selection of candidates for referral to the AAI/New York office for placement. AAI and EOC can also take the opportunity to brief the Selection Committee on the progress of any participants in training and any issues or concerns that might guide modifications in the program.

The Committee will ensure that the strongest group of candidates, reflecting a demographic and gender spread, priority fields of study, and qualifications desired, is chosen. A target of at least 40% female trainees has been established. The Committee will also act to publicly assure that fair and objective criteria in the selection process have been followed.

### Step 5. Notifying Candidates

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Immediately following selection decisions, the appropriate AAI and EOC officials will notify candidates that they have

been selected for placement at U.S. institutions. Where a candidate is selected and is subsequently unable to participate, a mechanism, will be established to provide for backup candidates to be notified.

#### Step 6. Transmittal of Documents

EOC will assure that each candidate's dossier has the proper documentation, including transcripts, diplomas, recommendations, and other proof of relevant academic work. Where a candidate's dossier is found to be incomplete, EOC will begin immediate follow-up. When all candidate materials are obtained, EOC will provide the local AAI office and USAID/SA with a list of candidates, including all personal data and background information and in a format to be jointly determined, on computer diskette and in hard copy. To expedite placement, this information will be transmitted by local AAI staff to AAI/New York.

#### 2. Placement. The placement process involves the following steps:

##### Step 1. Transmitting of Documents to the U.S.

Completed application forms, including transcripts, copies of diplomas, recommendations, and description of training desired, will be forwarded to AAI/NY by EOC through the AAI Field Representative in Johannesburg. USAID/SA requires a six-week lead time to complete participant paperwork before the start of participant training in the U.S.

##### Step 2. Data Design, Review of Files, Selection of Training Sites, and Submission of Dossiers

A revised database will be designed for use in recording program information for each program participant. The dossiers of each candidate will be assigned to the Program Coordinator, who will manage the placement of each candidate. The following documents accompany the dossier: (1) a letter outlining the program's training objectives; (2) a University Information Form; and (3) a Supplementary Form describing the terms of the program award. The Program Coordinator will use the forms submitted by the candidate and his/her advisor regarding the training desired and any proposed universities and mentors as primary reference material in the placement process. The guiding principle will be to arrive at a match between the participant's training objectives and institutional offerings.

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The Coordinator will have access to universities with whom AAI has worked and to a vast array of in-house reference directories and current microfiche collections listing approximately 3500 undergraduate and graduate catalogs from 3000 institutions. Every attempt will be made to place at least 50% of the candidates in HBCUs. Participant data will be provided to the USAID/SA Training Office for use in the

Participant Tracking Management Systems (PTMS).

Step 3. Tracking and Monitoring Placement

The Program Coordinator will record the following information: name; date of birth; school of origin; the training site selected; date file is submitted; and information on final placement decision. The information enables AAI to track the entire placement process. This system will keep the local AAI and EOC staff and the HBUs informed of placement status in a timely manner.

Step 4. Preparation of Training Implementation Plan (TIP)

When a candidate is accepted by a university for a short-term attachment, the Program Coordinator will prepare a Training Implementation Plan (TIP) for review by the candidate and his/her supervisor, the designated staff development person at the HBU, local AAI and EOC staff, and USAID/SA. Any questions or concerns regarding the TIP can be forwarded to AAI/New York for response, if required. The TIP will contain the following information:

- . Participant's name
- . Training objectives
- . Proposed start and call forward date
- . Duration of program
- . Name of proposed training institution
- . Dates and location of core and enrichment training activities, travel itinerary, and arrival plans
- . Confirmation of income tax status

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Step 5. Notification of Candidate and Preparation of Award Letter

After the placement is secured and the TIP is approved, the Program Coordinator will prepare the Award Letter and other documentation required for a call forward and forward it to the AAI office in Johannesburg for transmittal to the candidate.

3. **Orientation.** Orientations have historically proven to be invaluable aspects of participant training, especially for those travelling to and studying in the U.S. for the first time. Both a pre-departure orientation and orientation upon arrival in the U.S. will be planned. Any time that departures on this program coincide with those of other AID/EOC programs, efforts will be made to coordinate the two.

a. Pre-departure Orientation in South Africa

Upon receipt of the TIP, the designated staff development administrator at the HBU will be responsible for briefing their candidates and advisors or supervisors on the specifics of the Faculty Skills Enhancement Project and the process from

notification to departure. AAI and EOC will provide any guidance, written or oral, to facilitate this process, including any helpful tips regarding information, data and documents they might want to begin compiling to take with them to utilize in their research. It is very important at this stage that candidates be given instructions on obtaining medical clearance and the required medical forms.

Immediately prior to departure from the U.S., each wave of faculty from the HBUs will convene for one day in Johannesburg for an orientation program held by staff of EOC and AAI. This meeting will be arranged by EOC and will provide information regarding the U.S. university system, utilizing videotapes available at USIS; programmatic, administrative, and logistical details; and tickets, advances, and arrival information. Returned participants from this and other programs will participate in the orientation. Participants will depart for the U.S. following the all-day orientation.

#### b. U.S. Arrival Orientation

AAI will implement a two-day orientation in the U.S. for each group of program participants. Small groups of the size envisaged in this program who arrive at JFK International Airport at approximately the same time will be met by AAI staff and accompanied to hotel accommodations designated for their use. AAI has also used representatives of International Student Services (ISS) to meet arriving participants and will provide instructions for travel by bus or taxi from the airport in the event of any circumstance that prevents a planned meeting.

Upon arrival, AAI will provide Orientation Packets, including an orientation agenda, the program Handbook, "A Practical Guide to Living in the USA", and various forms and materials related to participant monitoring and program administration. All aspects of the participant's stay are covered during this orientation period. The administrative aspects covered include:

##### AAI and EOC roles and responsibilities

- Relationship of AAI and EOC to USAID
- Relationship of AAI and EOC to training institution
- advising and counseling systems
- financial disbursements
- recordkeeping and reporting

##### Role of the AAI Program Coordinator

- Review of program guidelines and regulations

## participant responsibilities

- reporting
- completion of program and repatriation
- immigration
- income tax

Additional areas covered are cross-cultural issues, American culture with an emphasis on the norms of the U.S. region in which a participant is placed, and other notes of interest regarding the American higher education environment. The second day is set aside for the individual meetings with the Program Coordinator to review individual academic programs and administrative issues.

**4. Monitoring.** The nature and quality of monitoring and advisory services are key to program outcome. These services also generate important qualitative and quantitative information from participants, training institution personnel, and staff.

Through close and careful monitoring of participants in this program, AAI will be in regular contact with the participant and the institution to which he or she is attached in order to:

- . ensure that training objectives are met;
- . monitor and enhance training progress;
- . monitor and enhance the participant's well-being; and
- . develop and disseminate meaningful information in a timely manner and take corrective action, in consultation with AAI, EOC, USAID/SA, and the HBU, where required.

**5. Data Collection Procedures.** Computerized records will be established and maintained on all participants to track and report participant status to USAID on a regular basis. The existing participant database includes all information required to meet HB10 requirements such as the Participant Data Forms (PDF) and other USAID reports. All Grantee records will be retained after program completion, allowing records to become updated after participants are repatriated.

**6. Issuance of Participant Payments.** AAI, recognizing the impact of financial administration on the quality of the participant's training experience, has in place a financial administration system that meets the following criteria and will be utilized in this program:

- 1) Payments will be regular and timely.
- 2) Payments will be accurate and in accordance with program regulations regarding allowable costs.
- 3) The financial system meets auditing standards of the U.S. Government regarding accountability and internal control.
- 4) The process is efficient and economical.

**7. Program Completion, Repatriation, and Evaluation.** Two months prior to completion of the program, program staff will contact participants regarding travel arrangements, three-year professional society membership enrollment, book shipment allowance, and the Terminal Report. This report is completed before the faculty member departs his/her training site and is discussed during the exit interview/re-entry workshop. Field Representatives and other appropriate persons are notified via fax of the estimated time of arrival one week prior to departure. (At least one month advance notice of return to South Africa is given to AAI and EOC field staff so that HBUs can be contacted and preparations can be made for the return of the faculty member to his/her department).

When feasible, participants will be routed through New York on their return to South Africa for a one-day re-entry and de-briefing workshop. In addition to individual exit interviews to discuss each participant's academic enrichment and cultural experiences in the U.S., the workshop will include topics such as: re-entry policies; reviews of personal experiences, lessons and achievements; ranking of work values; future directions/options; networking with each other and with their training institutions and other professional contacts; and identification of expectations and issues regarding re-entry.

Upon the return of each cohort of participants to South Africa, EOC will apply its existing monitoring, evaluation, and follow-on tools to ensure a smooth transition and to monitor the individual and institutional benefits and impact of the training. (Returnees will also be able to participate in USAID/SA's newly designed follow-on program). At the end of the Grant Agreement, AAI and EOC will plan and execute a high profile Awards Dinner with a prominent guest speaker, such as one of the Chancellors of the HBUs, to recognize the successful participants and award any innovative and outstanding research and other significant achievements or instances where they have successfully applied their skills since their return to South Africa. Funds for the dinner will be raised by AAI outside of this Grant Agreement.

**8. End of Project Evaluation.** Provision has been made in this Grant Agreement for an external evaluation of the South African Black Universities Faculty Skills Enhancement Project (SABUFSEP) at the end of the Grant period. The evaluation will be conducted by an education experienced evaluator from South Africa who is knowledgeable about the tertiary sector and the country's human resources needs. While the specific Scope of Work will be developed and approved at a later date, the evaluation will, in general, assess the impact of the project on the following:

- . The fields of study and departments targeted as priority areas of focus.

- . Individual faculty members' ability to design and undertake research suitable to their needs and to train others in their respective departments.
- . Individual faculty members' ability to manage the balance between research and teaching responsibilities.
- . Institutional ability to assess staff development needs, structure and institutionalize a staff development process within the HBU, and coordinate the identification of internal and external resources.
- . The forging and strengthening of effective linkages between HBUs and other tertiary institutions within and outside of South Africa for the sharing and use of human and material resources.
- . The ability of HBUs to attract and retain faculty and staff.
- . The extent of HBU participation in regional and national dialogue, exchange, and planning of tertiary education in South Africa with policy makers and planners.

#### VI. ILLUSTRATIVE FINANCIAL PLAN

The following detailed illustrative financial plan is provided in support of the Agreement financial plan found in Attachment 1., Section IV. A., which is the binding financial plan for purposes of the Agreement. All figures represent U.S. Dollar values.

*South African Black Universities Faculty Skills Enhancement Program (70 Participants/USAID funding only)*

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| I         | DIRECT PROGRAM COSTS            | No of Participants | No of Units | FY 94               | FY94-95            | Subtotal           | Total                 |
|-----------|---------------------------------|--------------------|-------------|---------------------|--------------------|--------------------|-----------------------|
| <b>A.</b> | <b>Education/Training Costs</b> |                    |             |                     |                    |                    |                       |
|           | 1. Tuition/Fees                 | 35                 | 1           | \$1,000.00          | \$1,000.00         | \$2,000.00         | \$70,000.00           |
| <b>B.</b> | <b>Allowances</b>               |                    |             |                     |                    |                    |                       |
|           | 1. Maintenance/Advance          | 35                 | 1           | \$1,950.00          | \$1,950.00         | \$3,900.00         | \$136,500.00          |
|           | 2. Living/Maintenance/1         | 35                 | 5           | \$1,100.00          | \$1,155.00         | \$2,255.00         | \$394,625.00          |
|           | 3. Per Diem                     | 35                 | 8           | \$144.00            | \$144.00           | \$288.00           | \$80,640.00           |
|           | 4. Books & Equipment            | 35                 | 6           | \$60.00             | \$60.00            | \$120.00           | \$25,200.00           |
|           | 5. Book Shipment                | 35                 | 1           | \$100.00            | \$100.00           | \$200.00           | \$7,000.00            |
|           | 6. Prof. Membership             | 35                 | 1           | \$225.00            | \$225.00           | \$450.00           | \$15,750.00           |
| <b>C.</b> | <b>Travel</b>                   |                    |             |                     |                    |                    |                       |
|           | 1. International                | 35                 | 1           | \$3,000.00          | \$3,150.00         | \$6,150.00         | \$215,250.00          |
|           | 2. Local                        | 35                 | 1           | \$1,200.00          | \$1,260.00         | \$2,460.00         | \$86,100.00           |
| <b>D.</b> | <b>Insurance</b>                |                    |             |                     |                    |                    |                       |
|           | 1. IIAC for U.S                 | 35                 | 6           | \$120.00            | \$126.00           | \$246.00           | \$51,660.00           |
|           | 2. Required by institution      | 35                 |             |                     |                    |                    |                       |
| <b>E.</b> | <b>Supplemental Activities</b>  |                    |             |                     |                    |                    |                       |
|           | 1. Conference Attendance        | 35                 | 1           | \$994.00            | \$1,041.00         | \$2,035.00         | \$71,225.00           |
|           | 2. Orientation                  | 35                 | 2           | \$250.00            | \$250.00           | \$500.00           | \$1,000.00            |
|           | <b>Total Participant Costs</b>  | <b>25</b>          | <b>N/A</b>  | <b>\$888,083.00</b> | <b>\$10,461.00</b> | <b>\$20,604.00</b> | <b>\$1,154,950.00</b> |

1. Living maintenance allowance figures are averaged and will vary depending on local cost of living.
2. Short-term program participants, including SABUFSEP participants, are determined not to be subject to federal tax obligations.

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**South African Black Universities Faculty Skills Enhancement Program (70 Participants USAID FUNDING ONLY)**

**INDIRECT**

| <b>II. PROGRAM COSTS</b>                | <b>FY 94</b>        | <b>FY 95</b>        | <b>TOTAL<br/>FY 94-95</b> |
|---|---------------------|---------------------|---------------------------|
| <b>A. United States</b>                 |                     |                     |                           |
| 1. Salaries                             | \$69,043.00         | \$72,495.00         | \$141,538.00              |
| 2. Payroll Taxes & Benefits             | \$20,022.00         | \$21,023.00         | \$41,045.00               |
| 3. Domestic Travel                      | \$3,500.00          | \$3,675.00          | \$7,175.00                |
| 4. International program staff travel   | \$7,750.00          | \$4,988.00          | \$12,738.00               |
| 4. Telephone & Cable                    | \$5,500.00          | \$5,775.00          | \$11,275.00               |
| 5. Postage & Freight                    | \$3,750.00          | \$3,938.00          | \$7,688.00                |
| 6. Supplies and Xerox                   | \$4,500.00          | \$4,725.00          | \$9,225.00                |
| <b>B. Africa</b>                        |                     |                     |                           |
| 1. Salaries & Benefits                  | \$8,888.00          | \$9,332.00          | \$18,220.00               |
| 2. Travel                               | \$2,500.00          | \$2,625.00          | \$5,125.00                |
| 3. Telephone and Cable                  | \$1,500.00          | \$1,575.00          | \$3,075.00                |
| 4. Postage & Freight                    | \$2,000.00          | \$2,100.00          | \$4,100.00                |
| 5. Supplies and Xerox                   | \$2,500.00          | \$2,625.00          | \$5,125.00                |
| 6. Pre-departure Orientation            | \$6,000.00          | \$6,000.00          | \$12,000.00               |
| 7. Subcontractor Fee                    | \$10,570.00         | \$10,569.00         | \$21,139.00               |
| <b>C. Evaluation</b>                    |                     | \$11,000.00         | \$11,000.00               |
| <b>D. Indirect Administrative Costs</b> | \$65,650.00         | \$68,932.00         | \$134,582.00              |
| <b>TOTAL</b>                            | <b>\$213,673.00</b> | <b>\$231,377.00</b> | <b>\$445,050.00</b>       |

**Notes:**

1. Indirect administrative costs based on 61.75% of total direct costs.
2. U.S. Salaries include: 10% Director, 50% Coordinator, 100% ETA, 5096 Program Assistant, 5% Contract Administrator, 100% Accountant, 25% Project Auditor
3. Benefits are based on 29% of salaries.

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**South African Black Universities Faculty Skills Enhancement Program (70 Participants /USAID FUNDING ONLY)**

| <b>II. GRAND TOTAL</b> |                                    | <b>FY94-95</b> |
|------------------------|------------------------------------|----------------|
| <b>A.</b>              | 1. Total Participant Program Costs | \$1,154,950.00 |
| <b>B.</b>              | 2. Total Administrative Costs      | \$445,050.00   |
|                        | Total SABUFSEP Program Costs       | \$1,600,000.00 |

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