



USAID | AFGHANISTAN

FROM THE AMERICAN PEOPLE

December 28, 2013

[REDACTED]
Senior Business Development Officer
Business Planning & Proposals
Family Health International (FHI 360)
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202.884.8400

[REDACTED]
www.fhi360.org

Subject: Cooperative Agreement No. AID-306-A-13-00009-00, USAID Afghanistan University Support and Workforce Development Program with Family Health International 360 (FHI 360)

Dear [REDACTED]

Pursuant to the authority contained in the U.S. Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (USAID) (hereinafter referred to as "USAID" or "Grantor") hereby awards to Family Health International FHI360 (hereinafter referred to as the "Recipient"), the sum of \$91,927,769.42 for the period of January 01, 2014 through December 31, 2018, USAID Afghanistan University Support and Workforce Development Program as described in this award in Attachment B, entitled "Program Description."

This Cooperative Agreement is effective and obligation is made as of the start date of the agreement and shall apply to commitments made by the Recipient in furtherance of program objectives for the period described in Section A.2. USAID will not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

In addition, implementation under this award may not commence until the registration and legal prerequisites of conducting business in Afghanistan are met by FHI 360.

This Cooperative Agreement is made to the Recipient on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to U.S. Non- Governmental Organizations;" Attachment A (the Schedule), Attachment B (the Program Description), and Attachment C (the Standard Provisions), all of which have been agreed to by your organization.

Please sign the original and each copy of this letter to acknowledge receipt and confirm acceptance of the Award, and return the original and all but one copy to the Agreement Officer.

Sincerely,

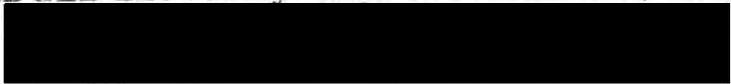
[REDACTED]
Agreement Officer
USAID/Afghanistan

ATTACHMENTS:

- A. Schedule
- B. Program Description
- C. Standard Provisions
- D. Branding and Marking
- E. Initial Environmental Examination (IEE)
- F. USAID Partner Information Form (PIF)

ACKNOWLEDGED BY: Family Health International (FHI 360)

Signature:



Name: Edward S. Dennison

Title: Director, Business Planning & Proposals

Phone:



Email:

Date: 21 December 2013

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1. REQ ID Number:	REQ-306-13-000175
2. BBFY:	2012
3. EBFY:	2013
4. Fund:	ES-OCO
5. OP:	AFGHANISTA
6. Prog Area:	A12
7. Dist Code:	306-M
8. Prog Elem:	A056
9. Team/Div:	AFG/SSR
10. BGA:	306
11. SOC:	4100201
12. Funded:	\$11,106,146.92

Total Amount of Requisition: \$17,528,953.00

C. PAYMENT OFFICE:

US Agency for International Development
M/FM/CMP-LOC Unit
Room 424, SA44
1300 Pennsylvania Avenue
Washington, DC 20523
Email: loc@usaid.gov

D. ADMINISTRATIVE OFFICE:

1. [REDACTED]
Agreement Officer (AO)
Office of Acquisition and Assistance
USAID/Afghanistan
Great Massoud Road, Kabul
[REDACTED]
2. [REDACTED]
Agreement Officer Representative (AOR)
Office of Social Sector Development
USAID/Afghanistan
Great Massoud Road, Kabul
[REDACTED]

ATTACHMENT A - SCHEDULE

A.1 PURPOSE OF AGREEMENT:

The purpose of this action is to issue a Cooperative Agreement to implement the USAID Afghanistan University Support and Workforce Development Program, a five-year project that aims to increase the skills and employability of professionally-qualified Afghan men and women in the public and private sectors.

A.2 PERIOD OF AGREEMENT:

(a) The effective date of this Agreement is January 01, 2014, and the estimated completion date of this Agreement is December 31, 2018.

(b) Subject to the terms and conditions of this Award, allowable costs incurred by the Recipient shall be reimbursable during the period specified in paragraph (a) above.

(c) As indicated in Section A.3 (b) below, this Award shall be incrementally funded. The obligated amount set forth in Section A.3 (b) below is anticipated to be sufficient through approximately September 30, 2014. The Recipient is authorized to continue expending obligated funds, if available, beyond that date, but not after the estimated completion date set forth in Section A.2 (a) above.

(d) The Recipient is required to notify the Agreement Officer in writing whenever it has reason to believe that the costs it expects to incur under this award in the next 60 days will exceed 75 percent of the total obligated amount.

A.3 AMOUNT OF AWARD AND PAYMENT:

(a) The total estimated amount of this Cooperative Agreement for its full period, as set forth in Section A.2 (a) above, is \$91,927,769.42.

(b) USAID hereby obligates the amount of \$17,528,953.00 for program expenditures during the period set forth in A.2 (a) above and as shown in the Budget below. The Recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.

(c) Payment shall be made to the Recipient via Letter of Credit in accordance with the procedures set forth in 22 CFR 226 and with the provision entitled "Payment Advance".

(d) Until such time as the obligated amount shall equal the total estimated amount of this Award, additional increments of funds may be obligated by USAID through a unilateral modification to this Award, subject to availability of funds, successful performance by the Recipient, evaluation of the program, program priorities at the time, and the requirements of 22 CFR 226.25.

A.4 AWARD BUDGET:

The following is the Award Budget. The Recipient may not exceed the total estimated amount or the obligated amount of this Award whichever is less. Revisions to this budget shall be made in accordance with 22 CFR 226.

Summary of Budget

Line Item	Year One 9/1/2013 - 8/31/2014 Amount	Year Two 9/1/2014 - 8/31/2015 Amount	Year Three 9/1/2015 - 8/31/2016 Amount	Year Four 9/1/2016 - 8/31/2017 Amount	Year Five 9/1/2017 - 8/31/2018 Amount	Total 9/1/2013 - 8/31/2018 Amount
I. PERSONNEL	██████████	██████████	██████████	██████████	██████████	██████████
II. FRINGE BENEFITS	\$ ██████████	██████████	██████████	██████████	██████████	██████████
III. TRAVEL	██████████	██████████	██████████	██████████	██████████	██████████
IV. EQUIPMENT	██████████	-	-	-	-	██████████
V. SUPPLIES	██████████	██████████	██████████	██████████	██████████	██████████
VI. CONTRACTUAL SERVICES	██████████	██████████	██████████	██████████	██████████	██████████
VII. OTHER DIRECT COSTS	██████████	██████████	██████████	██████████	██████████	██████████
VIII. SUBAWARDS	██████████	██████████	██████████	██████████	██████████	██████████
IX. COMMODITIES	██████████	██████████	██████████	██████████	██████████	██████████ ⁹
X. PARTICIPANT EXPENSES	██████████	██████████	██████████	██████████	██████████	██████████
XI. TOTAL DIRECT COSTS	\$ ██████████	██████████	██████████	██████████	██████████	██████████
XII. INDIRECT COSTS	██████████	██████████ ⁰	██████████	██████████	██████████	██████████
XIII. TOTAL FEDERAL	██████████	██████████	██████████	██████████	██████████	██████████
XIV. NON-FEDERAL	688,876	672,628	675,694	625,810	653,003	3,316,012
XV. GRAND TOTAL	17,041,756	22,535,440	20,886,000	18,731,809	16,048,776	95,243,782

Revision of Budget:

(1) Reporting of Deviations from Budget Plan

The summary budget set forth in paragraph A.4 (a) above is based on the detailed budget that the Recipient submitted with its application for this Award. The Recipient’s detailed, final negotiated budget constitutes the approved budget plan for this Award. In accordance with 22 CFR 226.25, the Recipient is required to report deviations from the approved budget, and request prior approvals for budget revisions.

(2) Prior Approval Required for Transferring Funds among Cost Categories by More Than 10% of Total Estimated Amount

In accordance with 22 CFR 226.25, the Recipient may not transfer funds among cost categories by more than 10% of the total estimated amount of this Award without the prior written approval of the Agreement Officer. Approval is also required for other budget revisions, as described in paragraph (b) (3) below, even if the budget revision is within the 10% restriction described herein.

(3) Prior Approval of Certain Revisions to Budget Plan

In accordance with 22 CFR 226.25, the Recipient shall request prior approval from the USAID Agreement Officer for the specific budget revisions described in 22 CFR 226.25.

A.5 AGREEMENT OFFICER’S REPRESENTATIVE (AOR):

The Agreement Officer’s Representative for this award is Mr. Dwaine Lee. A designation letter will be issued separately.

A.6 INTERNATIONAL TRAVEL:

The following international trips are approved for the duration of the award. All other additional international travels must have the prior approval of the Agreement Officer.

Travel	Destination	Type of Unit	Number of Trip Per Year					Total Number of Trips
			Year 1	Year 2	Year 3	Year 4	Year 5	
Airfare (Security Manager)	Kabul-Washington DC-Kabul	Round Trip	0	2	0	2	0	4.0
Relocation/Repatriation Airfare	TBD-Kabul	One Way	1	0	0	0	1	2.0
Relocation/Repatriation Airfare	TBD-Kabul	One Way	1	0	0	0	1	2.0
Relocation/Repatriation Airfare	TBD-Kabul	One Way	1	0	0	0	1	2.0
Home Leave / R&R Airfare	Kabul-Washington DC-Kabul	Round Trip	1	1	1	1	1	5.0
Home Leave / RRB Airfare	Kabul-Dubai-Kabul	Round Trip	3	3	3	3	3	15.0
Home Leave / R&R Airfare	Kabul-Washington DC-Kabul	Round Trip	1	1	1	1	1	5.0
Home Leave / RRB Airfare	Kabul-Dubai-Kabul	Round Trip	3	3	3	3	3	15.0
Home Leave / R&R Airfare	Kabul-Washington DC-Kabul	Round Trip	1	1	1	1	1	5.0
Home Leave / RRB Airfare	Kabul-Dubai-Kabul	Round Trip	3	3	3	3	3	15.0
Regional Office Staff	Delhi-Kabul-Delhi	Round Trip	8	3	3	3	3	20.0
Relocation/Repatriation Airfare (██████████)	U.S-Delhi	One Way	1.0	0	0	0	0.6	1.6
R&R Airfare (██████████)	Delhi-U.S	Round Trip	0	0.6	0.6	0.6	0.6	2.4
Home Office Staff STTA Airfare	Washington DC-Kabul-Washington DC	Round Trip	8	7	7	5	5	32.0
Home Office Consultant Travel	Washington DC-Kabul-Washington DC	Round Trip	8	8	8	8	8	40.0
Total Number of International Trips			40.00	32.60	30.60	30.60	32.18	165.98

A.7 SUB-AWARD:

Pursuant to 22 CFR 226 requires that all sub awarding under this Agreement receive the prior approval of the Agreement Officer unless described in the application and funded in the approved budget of the award. In seeking approval, the Recipient shall, at a minimum, identify the subrecipient, the amount and the purpose of award.

The following sub-awards have been approved as part of the formal evaluation and approval of the Recipient’s application and are included in the budget.

<u>Sub Recipient Name</u>	<u>Not to Exceed Amount</u>
1. University of Massachusetts	\$23,095,672
2. Purdue University	\$4,946,773
3. Altai Consulting*	\$1,969,380
4. Afghanistan Holding Group*	\$1,566,537

Note: Sub-awards marked with an asterisk above (*) are approved but with the understanding that award to Non-U.S. Organizations may not be made until the Recipient receives a Notice of Eligibility for these organizations in accordance with the Vetting Mission Order # 201.5 and Special Provision listed in Section A.17.11.

Except as indicated above, all other contracts, sub-awards, transfers, and sub-grants must have the prior approval of the Agreement Officer.

A.8 REPORTING AND EVALUATION:

A.8.1 FINANCIAL REPORTING:

Financial reporting requirements shall be in accordance with 22 CFR 226.22. Either paper copies or electronic copies (scanned PDF document) may be submitted, but not both. The Recipient shall submit an original and two copies of SF 1034 on monthly basis for payments and liquidation.

In accordance with 22 CFR 226.52, the SF 425 and SF 425a are used to report actual expenditures and are required on a quarterly basis. The Recipient shall submit these forms in the following manner:

The SF 425 must be submitted directly to the Agreement Officer's Representative (AOR), the Agreement Officer (AO) and to the USAID/Afghanistan Office of Financial Management at kabulfinancialreport@usaid.gov within 30 calendar days from the end of each quarter.

These reports shall be submitted within 30 calendar days from the end of each quarter, except that the final report shall be submitted within 90 calendar days from the estimated completion date of this Award.

A.8.2 PROGRAM REPORTING:

The Recipient shall submit a detailed copy of a performance report to USAID/Afghanistan AOR and to the Agreement Officer (AO). The performance reports are required to be submitted quarterly and shall be in keeping with the program description.

A.8.3 PERFORMANCE MONITORING REPORTING:

The Recipient will maintain books, records, designs, other documents and evidences to demonstrate that funds are used in accordance with the terms of the Agreement and USAID's regulations.

Within 90 days of the start date of the Cooperative Agreement, the preliminary Performance Management Plan (PMP) must be submitted to USAID and approved with relevant indicators and baseline data before major project implementation actions get underway. The PMP would include the full set of performance indicators disaggregated; baseline values and targeted values; source of the data and method of collection; schedule for data collection; known data limitations, data quality assessment procedures, estimate of costs; possible evaluation studies; and a detailed calendar for the completion of each task.

The Recipient shall prepare and submit three copies of a final performance and financial report to the AOR which summarizes the accomplishments of this Agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final performance and financial report shall also contain an index of all reports and information products produced under this Agreement.

A.8.4 FINAL REPORTING:

The Recipient shall submit a detailed final performance and financial report within 90 calendar days after completion of the Agreement, to the Agreement Officer's Representative and Agreement Officer.

A.8.5 CLOSEOUT PLAN:

30 days prior to the completion date of the Cooperative Agreement, the Recipient shall submit a Closeout Plan to the Agreement Officer and AOR. The closeout plan shall include, at a minimum, an illustrative Property Disposition plan; a delivery schedule for all reports or other deliverables required under the Agreement; and a time line for completing all required actions in the Closeout Plan, including the submission date of the final Property Disposition plan to the Agreement Officer's Representative. The closeout plan shall be approved in writing by the Agreement Officer.

A.8.6 INFORMATION SHARING:

Discussions in Washington regarding appropriations to support Afghanistan's programs and the presence of USAID's Office of the Inspector General (OIG) and the Special Investigator General for Afghanistan Reconstruction (SIGAR) in Afghanistan as well as the General Accountability Office's (GAO) keen interest in U.S. government programs in Afghanistan, necessitates the maintenance of appropriate, adequate and accurate documentation to communicate performance and financial results, procedures and processes.

Information regularly shared, in addition to the quarterly reports, may include:

- Weekly Highlights and Updates: Updates that reflect the highlights and lowlights of events and program progresses for that week as well as provide a "forward looking" view of important milestones or events coming up within the program.
- Readouts and assessments from key activities: Providing timely information regarding events and activities that create interest and greater understanding of the program's results.
- Public Outreach Stories and Highlights: Human interest stories that reflect successes and will elevate the awareness of FHI 360 as a visible USG and GIROA-supported effort.

A.8.7 ROLES AND RESPONSIBILITIES:

The Recipient shall be responsible to USAID/Afghanistan for all matters related to the execution of the Cooperative Agreement. Specifically, the Recipient shall report to the USAID Agreement Officer's Representative, located within the Office of Social Sector Development (OSSD), Kabul.

A.9 INDIRECT COST:

The total 5 year Indirect Cost under this program is [REDACTED]. FHI 360 is a U.S. Nongovernmental Organization and has an approved Negotiated Indirect Cost Rate Agreement (NICRA). Therefore the current Indirect Rates applied are as follows:

[REDACTED]					
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

[REDACTED]

A.10 TITLE TO PROPERTY:

Title to property financed under this Award or provided by USAID, and no longer used by the program and/or at the close of the program, whichever comes first, will be vested with the Cooperating Country, unless otherwise directed by the Agreement Officer to transfer property to a follow-on program or another implementing partner within the same USAID strategic area.

(a) Tangible Property

(1) Equipment

“Equipment” means an article of tangible nonexpendable property which identifies expected useful life of one year or more per-unit with a unit cost of \$5,000 or more. Equipment is subject to the requirements set forth in 22 CFR 226.34.

(2) Supplies and Other Expendable Equipment

“Supplies and other expendable equipment” means items of tangible personal property that do not meet the definition of “equipment” in paragraph (a) (1) above. Supplies and other expendable equipment are subject to the requirements set forth in 22 CFR 226.35.

(3) Real Property

“Real Property” means land, land improvements, structures, and appurtenances thereto. Real property is subject to the requirements set forth in 22 CFR 226.32.

(b) Intangible (Intellectual) Property

“Intangible Property” means, but is not limited to, copyrights, inventions and patents, and data first produced under this Award. Intangible property is subject to the requirements set forth in 22 CFR 226.36.

A.11 AUTHORIZED GEOGRAPHIC CODE:

The authorized geographic code for local procurements is 937, as set forth in 22CFR 228.11. It includes the U.S. and recipient countries, (but not advanced developing countries). A Source/Nationality waiver for procurement from 935 Geographic Code is available, but must be used only when necessary. Recipient must document its files when requesting use of the waiver.

A.12 COST SHARING:

FHI 360 agrees to provide cost sharing through innovative partnerships and through the leveraging interests of other Donors and Partners to achieve shared objectives. FHI 360 has committed to ensuring a cost-share contribution of 3.6% of all federal funds expended (approximately, \$3,316,012.11). Cost share commitments are legally binding.

A.13 PROGRAM INCOME:

The Recipient shall account for Program Income in accordance with 22 CFR 226.24. Program Income earned under this award shall be added to the project.

A.14 SUBSTANTIAL INVOLVEMENT UNDERSTANDING:

In accordance with ADS 303.3.11, USAID/Afghanistan's substantial involvement in USAID Afghanistan University Support and Workforce Development Program will include the following:

(a) Approval of Recipient's Implementation Plan

USAID AOR is authorized to approve the detailed annual implementation plan. The Recipient must submit the first implementation plan within 90 days from the start date of the period of performance. The following annual implementation plans shall be submitted in accordance with the dates specified in the Agreement. In addition, the implementation plan shall describe the Recipient's planned activities by component for the year, including a timeline with relevant milestones indicated, and include expected results, tied to the Recipient's Performance Management Plan. The implementation plan should be prepared in collaboration with USAID, and any other partners. Significant changes by the Recipient to the approved implementation plan will require prior AOR approval.

(b) Approval of Specified Key Personnel

Prior written approval by the Agreement Officer of any additions to or changes of key personnel is required. Prior to replacing any of the specified individuals, the Recipient must notify both the USAID Agreement Officer and AOR at least 30 days in advance and must submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program. No replacement will be made by the Recipient without the prior written consent of the Agreement Officer.

The following positions have been designated as key personnel for the successful completion of the objectives of the award:

Positions

Name

[REDACTED]	[REDACTED]

The number of key personnel designated for any agreement must not be more than five individuals or five percent of the Recipient’s employees working under this award, whichever is greater.

(c) Agency and Recipient Collaboration or Joint Participation

For this program, collaboration or joint participation will be limited to the following areas:

(1) Approval of Performance Monitoring Plan

USAID shall approve the Implementing Partner’s Performance Monitoring Plan (PMP). The PMP shall be submitted to the USAID AOR within 90 days of the start date of the Cooperative Agreement. The USAID AOR shall also be involved in monitoring FHI 360’s progress towards the achievement of program objectives during the course of the Cooperative Agreement through joint participation in Technical Committees and other Institutional Committees.

The AOR will approve monitoring and joint evaluation plans, and will be involved in monitoring progress toward the achievement of program objectives during the course of the Cooperative Agreement.

(2) Approval of Sub-Awards

USAID requires technical concurrence by the AOR on the selection of sub-award and the Agreement Officer will approve, unless funded in the approved budget of the award, the sub-award, transfer or contracting out of any work under this award. This provision does not apply to the purchase of supplies, material, equipment or general support services.

(3) Monitoring

USAID reserves the right to participate in monitoring for this program because of interrelationships with other projects.

Additionally, USAID will utilize the services of independent monitoring contractors as part of a multi-tiered approach to collect and verify information and inform decision-making. The monitoring tiers are as follows:

- Tier 1: USG direct observation/first-hand information;
- Tier 2: Implementing partner reporting;
- Tier 3: Afghanistan government and other donor monitoring systems;
- Tier 4: Civil society, local organizations, and beneficiaries observations; and
- Tier 5: Independent monitoring contractors.

This approach recognizes that it is increasingly important to rely on a variety of monitoring actors to gather project monitoring data. With respect to the independent monitoring contractors, they are being put in place to provide objective validation and quality assessments on USAID projects. The contractors will use a variety of monitoring methods to verify project data, including photos, GPS, site visits, and interviews. When necessary, the recipient will collaborate effectively with the independent monitoring contractors, and the project AOR, to ensure that all required data is provided in a timely manner. The recipient should work directly with the AOR in determining whether and how the multi-tiered monitoring data would aid successful implementation of USAID Afghanistan University Support and Workforce Development Program Description.

(d) Agency Authority to Immediately Halt a Construction Activity

Construction is not eligible for reimbursement under this award.

A.15 RESOLUTION OF CONFLICTS:

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

- Attachment A - Schedule
- Attachment C - Standard Provisions
- Attachment B - Program Description
- Attachment D - Branding and Marking

A.16 BRANDING STRATEGY AND MARKING PLAN:

In accordance with the Standard Provision set forth in Attachment D of this Award entitled "Branding and Marking," the Recipient's Branding Strategy and Marking Plan will be incorporated into this Award, and will form an integral part of it.

Branding Strategy and marking plan under USAID-Funded Assistance Instruments is a requirement of USAID. The Recipient's Branding and Marking plan should be submitted to USAID within 45 after the start date of the Cooperative Agreement.

A.17 SPECIAL PROVISIONS:

A.17.1 SECURITY:

The Recipient shall comply with all Government of the Islamic Republic of Afghanistan (GIROA) and U.S. Government civilian/military agency security policies and orders as they relate to Recipient's activities under this Cooperative Agreement.

The Recipient is advised that, as a result of Presidential Decree #62, security requirements for this Cooperative Agreement must be coordinated through the Afghan Ministry of Interior's Afghanistan Public Protection Force (APPF). At the time of award of this Cooperative Agreement, procedures for obtaining security are in transition and the Recipient shall closely monitor APPF procedural requirements and implement changes. The Recipient shall initiate discussions with APPF regarding security requirements as soon as possible. The APPF will require the Recipient to prepare and submit information on several forms. After receipt, APPF will discuss the Recipient's specific security requirements in a personal interview. At the time

of award of this Cooperative Agreement, the contact persons for this process are Colonel Mohammad Maroof, General Manager of Plans and Statistics, APPF, 0799-310-322, and Colonel Shir Ali who is the Deputy of Plans and Statistics, APPF, 0799-843-165. These two officers may be subject to change. USAID's, Safety and Security Office will assist with the process and may be reached at kabulaidssso@usaid.gov.

The Recipient shall be responsible for providing all life-support and security services required for its personnel deployed to project locations except when it is expressly stated in individual contracts that such facilities and services are to be provided by other means. The Recipient responsibilities shall include all life support, communications, and transportation of materials, personnel, and equipment to work sites. The Recipient may be required to provide the same life-support and security services for USAID personnel when so specified. In addition, the Recipient shall be responsible for maintaining the security of its personnel, materials, and equipment.

The Recipient shall prepare a comprehensive safety and security plan pertaining to all aspects of its activities and the activities of its employees in the performance of all work related to this Cooperative Agreement as well as the off-duty activities of its employees, as those activities relate to performance of contract work, serving in Afghanistan or elsewhere within the region as it relates to performance of the work. The Recipient shall continuously monitor and update this comprehensive safety and security plan by means of qualified and competent staff of personnel. The Recipient shall work closely with and establish liaison and cooperate with all authorized and appropriate safety and security organizations and entities for the protection and safety of its operations and employees.

A.17.2 HOMELAND SECURITY PRESIDENTIAL DIRECTIVE (HSPD-12):

In response to the general threat of unauthorized access to federal facilities and information systems, the President issued Homeland Security Presidential Directive-12. HSPD-12 requires all Federal agencies to use a common Personal Identity Verification (PIV) standard when identifying and issuing access rights to users of Federally-controlled facilities and/or Federal Information Systems. USAID is applying the requirements of HSPD-12 to applicable assistance awards. USAID will begin issuing HSPD-12 "smart card" IDs to applicable recipients (and recipient employees), using a phased approach. Effective October 27, 2006, USAID will begin issuing new "smart card" IDs to new recipients (and recipient employees) requiring routine access to USAID controlled facilities and/or access to USAID's information systems. USAID will begin issuance of the new smart card IDs to existing recipients (and existing recipient employees) on October 27, 2007. (Exceptions would include those situations where an existing recipient (or recipient employee) loses or damages his/her existing ID and would need a replacement ID prior to Oct 27, 2007. In those situations, the existing recipient (or recipient employee) would need to follow the PIV processes described below, and be issued one of the new smart cards.)

Accordingly, before a recipient (including a recipient employee) may obtain a USAID ID (new or replacement) authorizing him/her routine access to USAID facilities, or logical access to USAID's information systems, the individual must provide two forms of identity source documents in original form and a passport size photo. One identity source document must be a valid Federal or state government-issued picture ID. (Overseas foreign nationals must comply with the requirements of the Regional Security Office.) USAID/W recipients (and recipient employee) must contact the USAID Security Office to obtain the list of acceptable forms of documentation, and recipients working in overseas Missions must obtain the

acceptable documentation list from the Regional Security Officer. Submission of these documents, and related background checks, are mandatory in order for the recipient (or employee) to receive a building access ID, and before access will be granted to any of USAID's information systems. All recipients (or employees) must physically present these two source documents for identity proofing at their USAID/W or Mission Security Briefing. The recipient (or employee) must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual's employment with the recipient or completion of the award, whichever occurs first.

The recipient must comply with all applicable HSPD-12 and PIV procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any subsequent applicable USAID General Notices, Office of Security Directives and/or Automated Directives System (ADS) policy directives and required procedures. This includes HSPD-12 procedures established in USAID/Washington and those procedures established by the overseas Regional Security Office. In the event of inconsistencies between this clause and later issued Agency or government-wide HSPD-12 guidance, the most recent issued guidance should take precedence, unless otherwise instructed by the Agreement Officer.

The recipient is required to include this clause in any subawards (including subcontracts) that require the sub-awardee or sub-awardee's employee to have routine physical access to USAID space or logical access to USAID's information systems.

A.17.3 USAID AFGHANISTAN IMPLEMENTING PARTNER NOTICES:

The Recipient shall comply with and adhere to all USAID Afghanistan Implementing Partners Notices. Copies of the notices are provided to implementing partners at the time of issuance. Copies are also available upon request from your Cognizant Agreement Officer.

A.17.4 SUB-AWARD REQUIREMENTS (MARCH 2012):

(a) Applicability: This section limits the number of tiers of sub-awards to two tiers below the awardee for all Contracts and Cooperative Agreements. The awardee must not allow lower-tier sub-awards without the express written approval of the Contracting/Agreement Officer.

(b) Definitions: The term "award" in this clause refers to either the direct contract between USAID and the prime contractor or a direct Cooperative Agreement between USAID and the recipient. A "first-tier sub-award" is a direct award between the awardee and a sub-awardee (the "first-tier sub-awardee"). A "second-tier sub-award" is a direct award between the first-tier sub-awardee and its sub-awardee (the "second-tier sub-awardee").

(c) USAID's objective is to promote, to the extent practicable, competitive, transparent and appropriate local sub-awards with legitimate and competent sub-awardees. Awardee will ensure that all sub-awardees at any tier are actively engaged in the performance of sub-awarded work. Awardee will ensure that sub-awardees do not engage in "brokering" or "flipping" their sub-awards under this award and that all sub-awardees at any tier self perform appropriate portions of the work. "Brokering" or "flipping" is the practice of a sub-awardee receiving a sub-award and either selling such sub-award or not performing a significant percentage of the work with the sub-awardee's own organization.

(d) Should exceptional circumstances warrant sub-awards below two tiers, the Awardee will promptly request approval in writing from the Agreement Officer, which for contracts may be done in conjunction with a request under FAR 44, provided that the additional information set forth in paragraph (e) below is also provided.

(e) Awardee's written request for approval to allow sub-awardees below the second tier will include the following information:

(i) Sub-award number and title (or a general description of the sub-award work) of the existing sub-award;

(ii) Detailed explanation regarding why the work to be performed by the lower-tier sub-awardee cannot be performed by the prime or the two levels of sub-awardees.

(iii) The total value of the work and total value of the work to be self-performed by the existing sub-awardee;

(f) For purposes of calculating tiers, the following will not be considered a tier:

(i) Subsidiaries of the awardee;

(ii) Members of a joint-venture, provided the joint venture is either the awardee or otherwise a "tier" hereunder;

(iii) Employment awards for a single individual, provided that such individual issues no further sub-awards;

(iv) Suppliers/service providers for component parts for a sub-award issued for finished commodities purchased on the market. Only the sub-awardee supplying the finished commodity shall be considered a "tier" for purposes of this clause/provision;

(v) Suppliers of administrative or professional services incidental to the completion of the award nor their sub-awardees, such as legal or financial services, provided such suppliers or their sub-awardees do not perform substantive work related to the scope of work hereunder.

(g) With exception provided in paragraph (d) above for sub-awards: The awardee will include this clause in all sub-awards, and will require sub-awardees to include this clause in all lower-tier sub-awards. The awardee will be responsible for compliance with this clause/provision by all sub-awardees and lower-tier sub-awardees.

A.17.5 DATABASE REPORTING REQUIREMENTS:

USAID/Afghanistan uses a management information system to track program and project information for all mission-funded activities. The purpose of this database is to track the location of project implementation, document the use of funds, and monitor development projects, while maintaining coordination between USAID/Afghanistan, USAID/Washington, Congress, implementing partners, the Government of Afghanistan, and other Donors. This reporting process supports the Government of Afghanistan's requirement that USAID provide

information to the Ministry of Finance in order to track ongoing and completed Donor-sponsored development activities.

The Recipient shall provide at least a quarterly update of information on the activities under the agreement by entering this information into the USAID/Afghanistan management information system. The recipient shall enter information via an Internet website or a Microsoft (MS) Access Database, and the USAID URL address of the Afghan Info Database is: <https://usaidinfo.usaid.gov/>. The recipient will be provided a user ID/password. A comprehensive user manual will be provided after that details information on the required information and processes needed for managing the information in USAID\Afghanistan information system.

A.17.6 FRAUD REPORTING:

The awardee is required to report on indications of fraud in host-country institutions or other matters that could reasonably be expected to be of foreign policy interest to the U. S. Government's development and stabilization efforts. Corruption, real or perceived, may critically impact USAID programming objectives as might other knowledge the awardee acquires in its normal course of business. This [clause/provision] must not be construed to require the awardee to conduct investigation for such information outside of its normal business practices or to report on matters not directly or indirectly related to USAID programming or the proper use of U.S. Government funds. In the event awardee has special non-disclosure requirements or confidentiality requirements (such as are prevalent in the legal and banking industries), or awardee determines such reporting would conflict with applicable laws, awardee must include a proposal to obtain any necessary waivers from the applicable host-country institution allowing such reporting to the maximum extent possible. Reports under this requirement must be submitted as a deliverable under the award.

A.17.7 SPECIAL PROVISION FOR PERFORMANCE IN AFGHANISTAN:

All recipient personnel deploying to Afghanistan under grants or cooperative agreements with a performance period over 30 days or valued at more than \$100,000 must be accounted for in the Department of Defense maintained Synchronized Pre-deployment and Operational Tracker (SPOT) system. Information about SPOT is available at <http://www.dod.mil/bta/products/spot.html> as well as from the Agreement Officer (AO) or Agreement Officer's Representative (AOR). Recipient shall register those individuals requiring SPOT-generated Letters of Authorization (LOAs) in SPOT before deploying any employees or consultants to Afghanistan. If individuals are already in Afghanistan at the time the recipient employs them, the recipient must enter each individual upon his or her becoming an employee or consultant under this award. Personnel that do not require LOAs are still required to be accounted for in SPOT for reporting purposes either individually or via an aggregate tally methodology. The recipient must maintain and keep current all employee and consultant data in SPOT. Information on how individual and/or aggregate tally registrations will be made in SPOT is available from the AO or AOR.

Recipient's performance of this award may require the use of armed private security personnel. To the extent that such private security contractors (PSCs) are required, recipients are required to ensure they adhere to Chief of Mission (COM) policies and procedures regarding the operation, oversight, and accountability of PSCs. PSCs will be individually registered in SPOT.

Under this award, the term “PSC” includes any personnel providing protection of the personnel, facilities, or property of a recipient or sub-recipient at any level, or performing any other activity for which personnel are required to carry weapons in the performance of their duties. As specific COM policies and procedures may differ in scope and applicability, the recipient is advised to review post policies and procedures carefully in this regard and direct any questions to the Embassy Regional Security Office (RSO) via the Agreement Officer’s Representative.

Any exception to these policies must be granted by the COM via the RSO. A copy of any exception must be provided to the AO and AOR. COM policies and procedures may be obtained from the RSO via the Agreement Officer’s Representative. The Recipient is also advised that these policies and procedures may be amended from time to time at the post in response to changing circumstances.

The Recipient is advised that adherence to these policies and procedures is considered to be a material requirement of this cooperative agreement. The recipient must include this provision in all sub-awards at any tier or contracts under this cooperative agreement.

The Recipient is reminded that only the Agreement Officer has the authority to modify the Notice of Award. The Recipient shall proceed with any security guidance provided by the RSO, but shall advise the Agreement Officer and the Agreement Officer’s Representative of the guidance received and any potential cost or schedule impact.

A.17.8 HOST COUNTRY TAXES AND DUTIES:

Reference Mission Notice 184, dated October 2, 2013 regarding how to get exemption letter, the Recipient is advised that equipment, materials, and funds introduced into Afghanistan under the USAID program are exempt from customs duties and taxes of every kind. Accordingly, and in accordance with the applicable U.S. Government cost principles (see 22 CFR 226.27), such costs are unallowable and may not be charged to this Award or paid with funding provided hereunder. If the Recipient is assessed any such charges, the Recipient shall bring the proposed assessment to the immediate attention of the Agreement Officer and USAID/Kabul.

A.17.9 GENDER INTEGRATION REQUIREMENTS:

USAID programs must address the needs and protect the rights of women and girls in Afghanistan. Therefore, USAID requires recipients to undertake efforts to prevent discrimination and violence against women and girls, provide economic and leadership opportunities, increase participation of women in the political process, improve security for women and girls, promote education, health and well-being, and other efforts designed to directly benefit women and girls. The Recipient shall integrate assistance to women into all aspects of development, planning, programming and implementation, as a part of this assistance program. Such integration shall contribute to the three pillars of development outlined in the ten-year National Action Plan for the Women of Afghanistan (NAPWA) 1) Security; 2) Government, Rule of Law, and Human Rights; and 3) Economic and Social Development. The Recipient shall establish the necessary implementation, management and reporting systems to separately track and report to USAID data on female beneficiaries and measurable impacts of activities intended to address the needs of women and girls. It is expected that the relevant indicators on female beneficiaries and impacts of activities on the

needs of women and girls will vary by project. However, relevant indicators may include items such as:

1. The total number of women and girls supported through the agreement on a quarterly basis through Afghan Info;
2. Number of women accessing basic services, including education and health;
3. Number of interventions leading to increased employment and economic opportunities for women, as well of number of beneficiaries;
4. Number of interventions resulting in increased participation of women in government and civil society;
5. Number of activities supporting legal rights and public access for women; and, outcomes for women who have benefited from the agreement. The Recipient shall refer to USAID/Afghanistan's comprehensive Performance Management Plan (PMP) for complete list of gender indicators. To the extent possible, indicators applicable to the agreement will be disaggregated by gender.

Congress has mandated that USAID programs address the needs and protect the rights of Afghan women and girls, including efforts undertaken to prevent discrimination and violence against women and girls; provide economic and leadership opportunities; increase participation of women in the political process at the national, provincial and sub-provincial levels; improve security for women and girls; and any other programs designed to directly benefit women and girls. As required by USAID policies, the Recipient shall integrate assistance to women into all stages of development, planning, programming and implementation as a part of this agreement or assistance program. Such integration shall focus on Afghan-led programs directly contributing to any or all the three pillars of development outlined in the ten-year National Action Plan for the Women of Afghanistan (NAPWA): 1) Security; 2) Government, Rule of Law, and Human Rights; and 3) Economic and Social Development. The recipient shall establish the necessary accounting and management systems to separately track and report to USAID fiscal year expenditures under the agreement supporting issues of gender equality and women and girls as beneficiaries during each fiscal year of the agreement.

The Recipient shall establish the necessary implementation, management and reporting systems to separately track and report to USAID data on female beneficiaries and measurable impacts of activities intended to address the needs of women and girls. Project quarterly implementation reports shall specifically include information on the following, to the extent that it is applicable to the agreement: 1) the total number of women and girls supported through the agreement on a quarterly basis through Afghan Info; 2) number of women accessing basic services, including education and health; 3) number of interventions leading to increased employment and economic opportunities for women, as well of number of beneficiaries; 4) number of interventions resulting in increased participation of women in government and civil society; 5) number of activities supporting legal rights and public access for women; and, 6) outcomes for women who have benefited from the grant/agreement. The Recipient shall refer to USAID/Afghanistan's comprehensive Performance Management Plan (PMP) for a complete list of gender indicators. To the extent possible, indicators applicable to the agreement will be disaggregated by gender.

A.17.10 SERIOUS INCIDENT REPORTING REQUIREMENTS:

The Recipient is responsible for reporting all serious incidents during performance of the award. This reporting shall apply to the Recipient and all sub-awardees regardless of the tier

(subs of subs and lower, etc). In addition to reporting, the Recipient is responsible for ensuring timely investigation of all serious incidents and maintaining on file all records of reported serious incidents.

A serious incident is defined as any of the following against an employee paid for with U.S Government funding or on a USAID-funded work site regardless of the tier of the employee:

1. Death of an individual.
2. Discharge of a firearm with the intent to cause bodily injury or the use of an instrument with the intent of causing serious bodily harm to an employee
3. The detention of an employee against their will.

Implementing partners shall provide initial notification to the USAID Safety and Security Office (SSO), either orally or by email, of any serious incident - as soon as practical if it cannot be done immediately. The emails shall be sent to: kabulaidssso@usaid.gov. This notification must provide as many details as are known at the time about of the incident.

Within 24 hours of the incident, the Recipient shall submit a more formal written incident report. The Recipient shall provide the report to the SSO and will concurrently send a copy to the USAID AOR and AO.

The initial written report shall include the award number, the name of the company, location where the incident occurred (Latitude/Longitude or MGRS), time when the incident occurred, a brief description of the events of the incident, details about any known casualties and a point of contact for the company.

The Recipient shall provide a follow-up comprehensive written report of events surrounding the incident within 96 hours when greater details are known. Additionally, if a serious incident which involves an employee wounded in action (WIA) who later succumbs of the wound (s), the Recipient shall notify the SSO within 24 hours of the death of the individual.

A.17.11 VETTING:

I 4-14.001

Information for Non-US recipient, sub recipients, and key individuals:

(a) The recipient must complete and submit the "USAID Information Form" in appendix B. for:

- (i) Itself, if it is a non-U.S. entity;
- (ii) Each sub recipients or sub recipients of a sub recipients, regardless of the tier, that is a non-U.S. entity; or
- (iii) Each key individual that is a non-U.S. entity.

(b) For purposes of this clause, the following definitions apply:

"Non-U.S. entity" means (1) any non-U.S citizen or non-permanent legal resident of the United States: or (2) any entity that is not formed in the United States or for which 50% or more of the equity is owned or controlled by persons who are not U.S. citizens or permanent legal residents of the United States.

"Key individuals" means (i) an individual or entity owning 10% or more equity stake in the organization, whether publically- or privately-held; (ii) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer or secretary of the board of directors or board of trustees); (iii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director; president, vice president); (iv) the program manager or chief of party for the USA ID-financed program; and (v) any other person with significant responsibilities for administration of USAID financed activities or resources.

(c) The requirements of paragraph (a) of this clause must be completed at prior to the Government's acceptance of the agreement and following that, at the earlier of:

- (i) Once a year; or
- (ii) When there is a change or addition to any entity or person identified in paragraph (a).

(d) USAID reserves the right to rescind approval for a sub-award in the event that USAID subsequently becomes aware of information indicating that the sub-award is contrary to U.S. law or policy prohibiting support for terrorism, or facilitating criminal activity. In such cases, USAID's Agreement Officer will provide written instructions to the recipient to terminate the sub-award.

Vetting Procedures:

As per Mission Order No. 201.05 which Supplements Mission Order 201.03, the Vetting Procedures should be conducted by consulting the following:

The Vetting will be required for any Non-US Parties proposed for award or sub-award, or any instrument acting as any of the same, equal to or in excess of \$25,000 at any tier. In addition, vetting will be required for each sub-awardee contracted by the Implementing Partner for which the cumulative amount of awards to a single sub-awardee is anticipated to reach \$25,000 or greater regardless of the timeframe.

As a reminder, please submit separate vetting requests for each individual award. The Vetting Support Unit (VSU) will NOT accept one vetting request for multiple awards for a single awardee/sub-awardee. Please note, this lower vetting threshold will only apply to new/upcoming awards and sub-awards and existing awards and sub-awards that are over \$25,000.00

II. 4-14.002

Certification Regarding Provision of Support to Persons Engaged in Terrorism:

(a) By entering into this agreement, the recipient certifies, to the best of its known ledge and belief that:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treasury.gov/ofac/downloads/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama Bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/sc/committees/1267/pdf/AQList.pdf>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification:

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment. Facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) An act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site, <http://www.un.org/sc/committees/1267/pdf/AQList.pdf>. : or

(ii) An act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub-national groups or clandestine agents; or

(iii) Any other act intended to cause death or serious bodily injury) to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

(b) By entering into this agreement, the Offeror acknowledges that it has a continuing obligation and shall notify the Agreement Officer within 72 hours in writing if it has intentionally or unintentionally taken any actions that have the result and effect of being inconsistent with the certification in subsection (a) of this clause.

(c) The certification in paragraph (a) of this provision and the requirement to update the agreement officer as to a change in status as set forth in paragraph (b) are material representations upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, or did not notify the agreement officer in writing of a change in such certification, in addition to other remedies available to the Government, the Agreement Officer may terminate the agreement resulting from this solicitation for default.

III. 4-14.003

Restrictions on Certain Foreign Purchases

(a) Except as authorized by the Office of Foreign Assets Control (OFAC) in the Department of the Treasury, the Recipient shall not acquire, for use in the performance of this agreement, any supplies or services if any proclamation, Executive order, or statute administered by OFAC, or if OFACs implementing regulations at 31 CFR Chapter V, would prohibit such a transaction by a person subject to the jurisdiction of the United States.

(b) Except as authorized by OFAC, most transactions involving Cuba, Iran, and Sudan are prohibited, as are most imports from Burma or North Korea, into the United States or its outlying areas. Entities and individuals subject to economic sanctions are in OFAC's List of Specially Designated Nationals and Blocked Persons at <http://www.treas.gov/offices/enforcement/ofac/sdn>. More information about these restrictions, and updates, is available in the OFAC's regulations at 31 CFR Chapter V and/or on OFAC's website at <http://www.treasury.gov/ofac/downloads/t11sdn.pdf>.

(c) The Recipient shall insert this clause, including this paragraph (c), in all sub-contracts.

(d) Before awarding any grant or similar instrument, the Contractor/Recipient shall obtain from the proposed sub-awardee the certification required under USAID's Acquisition and

Assistance Policy Determination 04-14 (AAPD 04-14), "Certification Regarding Terrorist Financing Implementation E.O. 13224 (Revision 2).

A.17.12 REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:

a. Reporting of First-Tier Subawards:

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity (see definitions in paragraph e. of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.(1) of this award term to www.fsr.gov.

(ii) For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsr.gov specify.

b. Reporting Total Compensation of Recipient Executives:

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) The total Federal funding authorized to date under this award is \$25,000 or more;

(ii) In the preceding fiscal year, you received

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report executive total compensation described in paragraph b. (1) of this award term:

(i) As part of your registration profile at www.ccr.gov/.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Sub-recipient Executives:

(1) Applicability and what to report. Unless you are exempt, as provided in paragraph d. of this award term, for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if –

(i) In the sub-recipient's preceding fiscal year, the sub-recipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report sub-recipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (for example, between October 1 and 31), you must report any required compensation information of the sub-recipient by November 30 of that year.

d. Exemptions:

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) Subawards, and

(2) The total compensation of the five most highly compensated executives of any sub-recipient.

e. Definitions:

For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR 25:

(i) A governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization;

(v) A Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Sub-award:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible sub-recipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, "Audits of States, Local Governments, and Non-Profit Organizations").

(iii) A sub-award may be provided through any legal agreement, including an agreement that you or a sub-recipient considers a contract.

(4) Sub-recipient means an entity that:

(i) Receives a sub-award from you (the recipient) under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the sub-award.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

(v) Above-market earnings on deferred compensation which is not tax-qualified.

(vi) Other compensation, if the aggregate value of all such other compensation (for example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

(End of Provision)

A.17.13 ENVIRONMENTAL COMPLIANCE:

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this cooperative agreement.

In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). Hereinafter, such documents are described as "approved Regulation 216 environmental documentation."

An Initial Environmental Examination (IEE) number OAPA-13-MAR-AFG-0222 included under (Attachment D) has been approved for program funding this Cooperative Agreement. The IEE covers activities expected to be implemented under this Cooperative Agreement.

USAID has determined that a **NEGATIVE DETERMINATION WITH CONDITIONS** applies to some proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. For activities determined to have a **CATEGORICAL EXCLUSION** then this indicates that these activities are expected to have no significant adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 Environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

(End of Provision)

ATTACHMENT B - PROGRAM DESCRIPTION

1. TECHNICAL APPROACH / MANAGEMENT

A. PROJECT CONTEXT

Afghanistan's higher education system is engaged in an ambitious effort to recreate itself. It has struggled to recover from nearly two decades of underutilization, neglect, and destruction due to internal conflict, but during that time the global and regional expectations of a higher education system had changed. To simply restore Afghanistan's system to its stature in the 1990s, when the numbers of universities, academic programs, faculty members, and students were at all-time highs, will not meet the needs of the recovering nation. In 2002, Afghanistan committed itself to the creation of a modern and regionally competitive higher education system whose graduates find gainful employment and contribute to the nation's development.

While it is true that Afghanistan is far from realizing a regionally competitive national system of universities, progress has been made. The higher education system has more institutions, faculty members, and students than ever before, better facilities and infrastructure, and more diverse academic programs, including several high quality graduate programs. Despite this progress, increased focus is needed on the quality and relevance of academic programs and on managing the expansion of tertiary education to keep pace with burgeoning demand.

USAID Afghanistan University Support and Workforce Development Program is designed to help Afghanistan's higher education professionals effectively manage the growth of tertiary education while improving academic quality. Building on the successes of the Afghanistan Higher Education Project (HEP, 2006-2014) and other initiatives, USAID Afghanistan University Support and Workforce Development Program will improve the management capacity of the Ministry of Higher Education (MoHE) and up to 10 public universities. It will help the MoHE implement key strategies designed to ensure quality education and employment for a larger number of Afghan men and women. It will enable universities to manage and expand education resources in ways that encourage effective governance structures. It also will assist in developing learning environments that foster well qualified and professional faculty members, highly capable and motivated students, diverse and market-oriented academic programs, sustainable public-private collaboration, international university partnerships, and other innovations that move Afghanistan toward the higher education system it deserves.

B. APPROACH

To reach the goal of increasing the employment of professional Afghan men and women requires an approach to program implementation that combines a clear-eyed understanding of the many challenges facing Afghanistan with a positive vision for its future. Therefore, the approach of the FHI 360 team will be grounded in three strategies:

- Build upon lessons learned implementing HEP;
- Align with Afghan national policies and coordinate with relevant initiatives; and
- Be responsive to the cultural, political, and economic realities of Afghan society.

BUILD UPON LESSONS LEARNED IMPLEMENTING HEP

Through HEP, USAID’s eight-year investment in higher education improvements has laid the groundwork for achieving the objectives of USAID Afghanistan University Support and Workforce Development Program. FHI 360 team members have been instrumental in both HEP 1 and 2, and have identified general lessons learned:

- Engage Afghan stakeholders as partners to identify and implement activities;
- Provide technical experts who offer evidence-based strategies;
- Work within existing MoHE policies and systems, helping to introduce reforms or improvements as appropriate;
- Support the inclusion of women as implementers and beneficiaries; and
- Promote and facilitate the full transition to Afghan leadership to ensure sustainability.

Proposed USAID Afghanistan University Support and Workforce Development Program activities will face many of the same challenges met by the HEP implementing team. Our experience implementing HEP allows us to anticipate these challenges and propose specific strategies for addressing them, as defined by Table 1.

Table 1: Challenges facing USAID Afghanistan University Support and Workforce Development Program and strategies for addressing them

CHALLENGES	STRATEGIES
COMPONENT 1 -Strengthening MoHE Systems and Management Capacity	
<ul style="list-style-type: none"> • Some junior staff members lack basic education experience • Some senior staff members lack leadership skills and experience • Patronage results in unqualified staff • Need for better communication of TA with senior management • Overly complex procedures • Staff training does not always translate into increased job productivity 	<ul style="list-style-type: none"> • Develop policy and procedures to pay above-scale salaries to hire and incentivize the retention of qualified staff • Provide leadership training and mentoring to senior leaders to increase competence and confidence • Strengthen HR procedures to lessen impact of patronage • Identify key individuals and committees in MoHE and establish regular interaction to promote communication • Conduct workshops that focus on learning specific activities like procurement • Follow up group training with monitoring and tutoring • Include supervisors in training of staff
COMPONENT 2 -Improving management systems, academic programs and links to public and private sector employers in selected universities	
<ul style="list-style-type: none"> • Lack of financial control over revenue and expenditures (<i>this is system-wide and beyond the scope of USAID Afghanistan University Support and Workforce Development Program</i>) • Low resource levels result in low pay and poor physical facilities • Universities have limited administrative capacity to carry out basic tasks and to cope with any increase in autonomy • Most faculty have second jobs, often at much higher pay, limiting their availability to teach and work with students • Curriculum reform often blocked by resistant senior faculty • Some faculty fear change because they lack access to new content and methodologies • Unrealistic pressure to quickly start new graduate degrees • Low quality of some Bachelor's programs • Curriculum outdated and not linked to needs of the labor market 	<ul style="list-style-type: none"> • Help MoHE identify regulatory strategies to increase financial autonomy at the university level while the Higher Education Act remains in legislative limbo • Help universities create strategic plans, identify staff training needs and write funding proposals • Help MoHE develop policies and enforcement procedures to limit private education from siphoning off faculty in public institutions • Provide study tours and training for senior and junior faculty to expose them to modern content • Work with curriculum committees that include younger, junior faculty who are more open to change and willing to learn new content and methods • Create a faculty development process with staff and facilities at the university level to manage change • Develop a participatory model guided by policy documents, procedures, and a road map to be followed when starting any new degree program • Create joint faculty/employer advisory groups to build communication, understanding and ways of linking curriculum better to needs of employers

ALIGN WITH AFGHAN NATIONAL POLICIES AND COORDINATE WITH RELEVANT INITIATIVES

USAID Afghanistan University Support and Workforce Development Program must be aligned with key national strategies to improve Afghan higher education. The Afghanistan National Development Strategy (ANDS), National Higher Education Strategic Plan: 2010-2014 (NHESP), and 2008 National Action Plan for the Women of Afghanistan (NAPWA) call for better access to a higher quality and more relevant education at the post-secondary level, and equal opportunity for women to participate in a quality tertiary education as students, instructors, researchers and leaders. The adoption of the MoHE Gender Strategy, actively supported by HEP, will contribute to furthering the goals of the 2008 NAPWA through USAID Afghanistan University Support and Workforce Development Program.

In addition to aligning with these policies, all USAID Afghanistan University Support and Workforce Development Program activities will improve the capacity of MoHE and university leaders to implement activities of the National Priority Program

(NPP) in areas that are essential to meeting national higher education development goals.¹ Earlier this year the MoHE received \$264 million to fund NPP activities; USAID Afghanistan University Support and Workforce Development Program is designed to increase MoHE ability to implement these activities effectively.

The FHI 360 team will coordinate with other U.S. government-funded activities² to ensure that the exchange of information on strategies, opportunities, and challenges benefits all projects and maximizes positive impact. USAID Afghanistan University Support and Workforce Development Program will also coordinate with other donor-funded programs addressing higher education priorities to make sure that lessons learned from these are leveraged to further USAID Afghanistan University Support and Workforce Development Program results, and to limit redundancy. At the Ministry level alone there are several major donors, including the World Bank, UNESCO, GIZ, and the British Council.

IMPLEMENT WITHIN THE CULTURAL, POLITICAL, AND ECONOMIC REALITIES OF AFGHAN SOCIETY

Afghanistan is affected by complex conflict that access to higher education has the potential to either mitigate or exacerbate. Multiple interest groups compete around many issues, with

A Transformative Approach to Gender Issues

Afghanistan is on the precipice of dramatic change with regard to the role of women and men in higher university life, and the options they have when they exit university. The key gender-related challenges facing the USAID Afghanistan University Support and Workforce Development Program project will be two-fold: 1) preparing female undergraduate and graduate students for the types of jobs that women will realistically have access to after graduation from university; and 2) developing a cadre of empowered, supportive and engaged university professors – both men and women – who are aware of the severely unequal gender dynamics in Afghanistan and willing to be pioneers in questioning and changing traditional gender norms.

FHI 360 and its partners will build on gender equality gains made in HEP and will incorporate a robust gender focus in all aspects of USAID Afghanistan University Support and Workforce Development Program. We will pay close attention to the academic and employability needs of female students and professors as well as the role they play helping one another. USAID Afghanistan University Support and Workforce Development Program will also implement activities in the core project areas that challenge gender norms, for example, co-ed mentoring, peer counseling, and incorporating gender issues into curriculum.

regional, ethnic, religious, gender, and political tensions at every level of decision-making. The FHI 360 team will work to address potentially divisive issues, including how to best mitigate the impact of insecurity and conflict on project planning and implementation.

USAID Afghanistan University Support and Workforce Development Program will strengthen university services and implement new degrees in underserved areas and at universities where conflict affects the hiring and development of qualified faculty members, education opportunities for youth, and employment opportunities for graduates. The project team will implement policies, procedures and protocols that emphasize meritocracy, equity, gender equality, accountability and transparency. Team members will identify opportunities where innovative educational practices can add significant value, such as through the establishment of distance learning opportunities at universities connected to high-speed broadband through the Afghanistan Research and Education Network (AFREN).

Introducing new programs or procedures with the potential to challenge traditional norms and values must be done by working with – and listening carefully to – Afghans as local experts who will help adapt these strategies. Project staff will consistently involve a broad base of Afghans representing diverse ethnic identities in our advisory committees.

The economic environment in Afghanistan is volatile and uncertain, and economic gains brought on by recent rapid growth have not been evenly distributed. The current disequilibrium of supply and demand for college graduates signals a mismatch between employers' needs and graduates' skills. A critical element in the first year of USAID Afghanistan University Support and Workforce Development Program will be an Employment Sector Analysis that will document the current and expected opportunities for employment of graduates in major sectors of the economy. Understanding the nature of employment opportunities in each sector and region, and identifying the current gaps in skills and expectations between graduates and employers will inform decisions about investment in higher education offerings.

C. PLANNED ACTIVITIES, TASKS, OUTPUTS AND OUTCOMES

This section describes the specific approaches, activities, and tasks that will be undertaken by the FHI 360 team, and identifies the outputs and outcomes that will result (See Annex E for the Life of Program Workplan).

COMPONENT 1: STRENGTHEN MOHE SYSTEMS AND MANAGEMENT CAPACITY

The FHI 360 team has designed USAID Afghanistan University Support and Workforce Development Program so that the project's key outputs and outcomes will strengthen MoHE systems and management capacity. With expanded capacity, the Ministry can successfully foster and navigate a tertiary education environment, which over the next several years will be more decentralized and will be a de facto gateway for realization of some of the gender and other goals set forth in key recent national strategies. Key outputs and outcomes of Component 1 are illustrated in Table 2.

Table 2: Outputs and outcomes resulting from Component 1 activities

SUB-COMPONENT	OUTPUTS	OUTCOMES
1.1. Strengthen MoHE's management systems for implementing and monitoring university quality assurance and accreditation standards	All 10 universities have completed a full cycle of the QA and accreditation process.	The MoHE has institutionalized and is monitoring a national system of QA and accreditation.
	Private institutions and distance education providers are involved in MoHE's QA and accreditation process.	All 10 USAID Afghanistan University Support and Workforce Development Program universities actively participate in the QA and accreditation process.
	The MoHE has a functional remediation process in place for universities that fail to meet minimum quality standards.	The QA and accreditation process is perceived by public and private university leadership across Afghanistan as functional and legitimate.
	All MoHE officials and university staff responsible for ongoing QA and accreditation functions have received	All 10 program universities model gender inclusivity.
	The MoHE has a gender sensitive training program for university staff and faculty.	The MoHE has institutionalized a policy for financial autonomy at public universities.
1.2 Develop policy and procedural capacity to support public university autonomy	The MoHE has a policy for financial autonomy at USAID Afghanistan University Support and Workforce	All 10 USAID Afghanistan University Support and Workforce Development Program universities have financial autonomy and are effectively managing private and public funds.
	MoHE and university officials have received professional development in financial autonomy.	The MoHE is exploring the extension of academic and administrative autonomy to universities.
	The MoHE has a process in place for monitoring the solicitation and use of private funds.	MoHE internal controls and financial and administrative systems meet PFMRA requirements.
	The MoHE has procedures in place for dealing with abuse of the financial autonomy policy.	The MoHE receives on-budget funding.
	The MoHE and partners have made recommendations about academic and administrative autonomy.	The MoHE and all USAID Afghanistan University Support and Workforce Development Program universities have improved performance management.
1.3 Improve management of the MoHE's human, financial and other resources	A sustainable Leadership Team informs and supervises the design and delivery of capacity building activities.	MoHE management systems are gender sensitive.
	The MoHE produces an annual capacity development plan.	
	The MoHE and all USAID Afghanistan University Support and Workforce Development Program universities have Gender policies are integrated into management systems.	
	MoHE policies, procedures and systems are refined or developed in line with the Leadership Team's recommendations.	

Subcomponent 1.1: Strengthen MoHE's management systems for implementing and monitoring university QA and accreditation standards

The next two academic years (2014-2015) are critical to the fledgling accreditation process for Afghan universities, as it will be key for ensuring the quality of public and private tertiary education. USAID Afghanistan University Support and Workforce Development Program will work with the MoHE to communicate the importance of this process, which will help foster a better understanding of higher education among Afghans, including employers, and accreditation itself will be a seal of approval that is attractive to potential employers. During this period, all public universities and some private universities will initiate or continue the first phase of the recently inaugurated accreditation process. Institutions achieving the first level of accreditation candidacy will have one year to make improvements that lead toward either the second level of candidacy or full accreditation. The MoHE will coordinate peer review visits and serve as a resource to universities as they make improvements to address deficiencies identified in the peer reviews.

To support the MoHE during this transformative period, USAID Afghanistan University Support and Workforce Development Program will build the capacity of the three units within the Ministry that oversee the accreditation process through the following tasks:

- **Work with the Commission on QA and Accreditation to enhance training of peer reviewers and assess the accreditation process.** USAID Afghanistan University Support and Workforce Development Program will provide TA to identify and address weaknesses in the conduct of peer reviews, completion of peer review reports and recommendations, and the provision of guidance to universities.
- **Develop clear strategies with the Commission and the Directorate of QA for following up with institutions that have achieved admission to the first or second levels of accreditation candidacy.** The focus will be on developing workshops and providing direct TA to address deficiencies that may be hindering universities' achievement of accreditation.
- **Link the Commission with international accreditation institutions.** These include the Accreditation Board for Engineering and Technology (ABET), the International Network for Quality Assurance Agencies in Higher Education, and other regional bodies.
- **Address broader QA issues with the Commission and Directorate of Quality Assurance.** There is a whole host of QA issues relevant to both public and private institutions, and USAID Afghanistan University Support and Workforce Development Program will continue the advances made by HEP to build the MoHE's capacity to support the implementation of policies and strategies related to academic quality, the participation of female students and faculty, student services, faculty development, and study abroad.
- **Support the MoHE in communicating the importance of QA and accreditation.** This will serve as an opportunity to create a better understanding of higher education services among Afghans, including potential employers. If these employers recognize the legitimacy of the accreditation process and appreciate QA efforts, they are more likely to seek graduates from accredited institutions.
- **Develop a gender sensitive training program for university staff and faculty.** University staff and faculty will be trained in gender sensitive professional practices, will be encouraged to establish sustainable support systems for graduate students, and professional and equitable standards for treatment in the workplace will be required.

Subcomponent 1.2: Develop policy and procedural capacity to support public university autonomy

The MoHE's focus on QA and accreditation reflects the underlying move toward greater autonomy and accountability for public universities. USAID Afghanistan University Support and Workforce Development Program will assist the MoHE in its efforts to define university autonomy, develop appropriate regulations, and create mechanisms of support to ensure the success of autonomy initiatives. To date, the focus has been on financial autonomy, which would allow universities to raise external funds and lessen reliance on official funding. Financial autonomy would loosen constraints on spending, allowing universities to pursue and finance innovative strategies. For example, external funding may be used to finance the expansion of the student services function at universities to include career counseling. Currently, official university budgets do not include – or even consider – funds for such critical student services. Ultimately, financial autonomy is necessary – but not sufficient – for broader institutional autonomy.

USAID Afghanistan University Support and Workforce Development Program will enhance the MoHE's capacity to advance financial, academic, and administrative autonomy through the following tasks:

- **Provide expert technical support to the Ministry for identifying and implementing an appropriate model of financial autonomy.** USAID Afghanistan University Support and Workforce Development Program partners will engage university stakeholders (leadership, faculty, and students) in the design of an approach for university autonomy. Technical experts will support the MoHE in creating policies for extending financial autonomy to an initial group of institutions during the pilot phase; for soliciting, allocating, and monitoring the use of private funds for university priorities during the implementation phase; and for reporting on the use and impact of non-official funding.
- **Develop tools with the MoHE's Anti-Corruption Department for tracking and auditing the solicitation and use of private funds.** Important to the development of financial autonomy policies and procedures are safeguards against the misuse of funds, as well as measures to ensure that official funding is not withheld should universities prove successful at attracting private funding. USAID Afghanistan University Support and Workforce Development Program will help the Ministry develop penalties for – and procedures for monitoring – violations of the autonomy policy.
- **Assess whether autonomy policies are being implemented effectively.** The next phase of USAID Afghanistan University Support and Workforce Development Program support for university autonomy will ensure that the policy is being implemented effectively, and that established procedures are supporting policy objectives. Another important consideration will be to ensure the capacity to accept and manage increased autonomy, so USAID Afghanistan University Support and Workforce Development Program will work with MoHE leaders and university representatives to address weaknesses in the policy or procedures, ensuring that autonomy can be extended to additional public universities beyond the pilot phase.
- **Explore the extension of university autonomy beyond the financial realm.** The QA process may open pathways to greater academic and administrative autonomy. Greater academic autonomy could enable more responsiveness to regional and local priorities by allowing universities to create or reorganize faculties and degree

programs, revise curricula, hire and promote faculty, recruit and select students, make decisions around the development and use of university facilities, work with regional businesses and other partners, and address gender inequities facing faculty members and students.

Subcomponent 1.3: Improve the management of the MoHE's human, financial and other resources

In order to help the MoHE better manage higher education resources and prepare for on-budget assistance from major donors, USAID Afghanistan University Support and Workforce Development Program will focus its capacity development activities on six crucial areas: organizational leadership, internal audit, finance and accounting, human resources, procurement, and Higher Education Management Information Systems (HEMIS). USAID Afghanistan University Support and Workforce Development Program will continue in the direction laid out in HEP through the following activities:

- **Create additional mechanisms within the MoHE for the design, delivery, and enforcement of improved management capacity.** USAID Afghanistan University Support and Workforce Development Program will work with the deputy ministers and the heads of key departments to promote the creation of a Leadership Team to help determine the priority capacity development needs of MoHE staff and identify which individuals will participate in training and professional development.
- **Guide the Leadership Team to prioritize needs and develop a timeline of training and TA.** Remediation of the MoHE deficiencies in the six priority areas presents a massive challenge. The Public Financial Management Risk Assessment (PFMRA) conducted by USAID in 2012 will help the Leadership Team to prioritize functional deficiencies to be addressed through capacity development work. USAID Afghanistan University Support and Workforce Development Program will coordinate with the USAID-funded Caravan Program to tailor these activities and establish appropriate benchmarks for measuring improved capacity in conjunction with the longitudinal institutional capacity development study described in the M&E plan.
- **Develop a five-year capacity development plan.** This will be grounded in the Ministry's strategic priorities (as determined at the initial stages of USAID Afghanistan University Support and Workforce Development Program) and in the organization's Financial Management Risk Assessment. USAID Afghanistan University Support and Workforce Development Program will serve as a bridge to help make sure that the MoHE capacity development plan is aligned closely with capacity development plans implemented at the university level.
- **Identify technical specialists to develop and deliver the TA and training called for by the capacity development plan.** USAID Afghanistan University Support and Workforce Development Program also will ensure that the activities are delivered according to the expectations of the Leadership Team, the group ultimately responsible for ensuring appropriate content and participation.
- **Conduct ongoing monitoring and annual review of the capacity development plan.** Together, USAID Afghanistan University Support and Workforce Development Program and the Leadership Team will assess the impact of the activities as measured against established indicators identified in the Performance Monitoring Plan. Annually, they will review the capacity development plan and recommend adjustments or new activities that will further prepare the MoHE to manage on-budget assistance.
- **Gender policies are integrated into management systems.** Related to the gender

sensitivity training practices for university staff and faculty in Subcomponent 1.1, gender equitable policies such as equal opportunity employment will be developed.

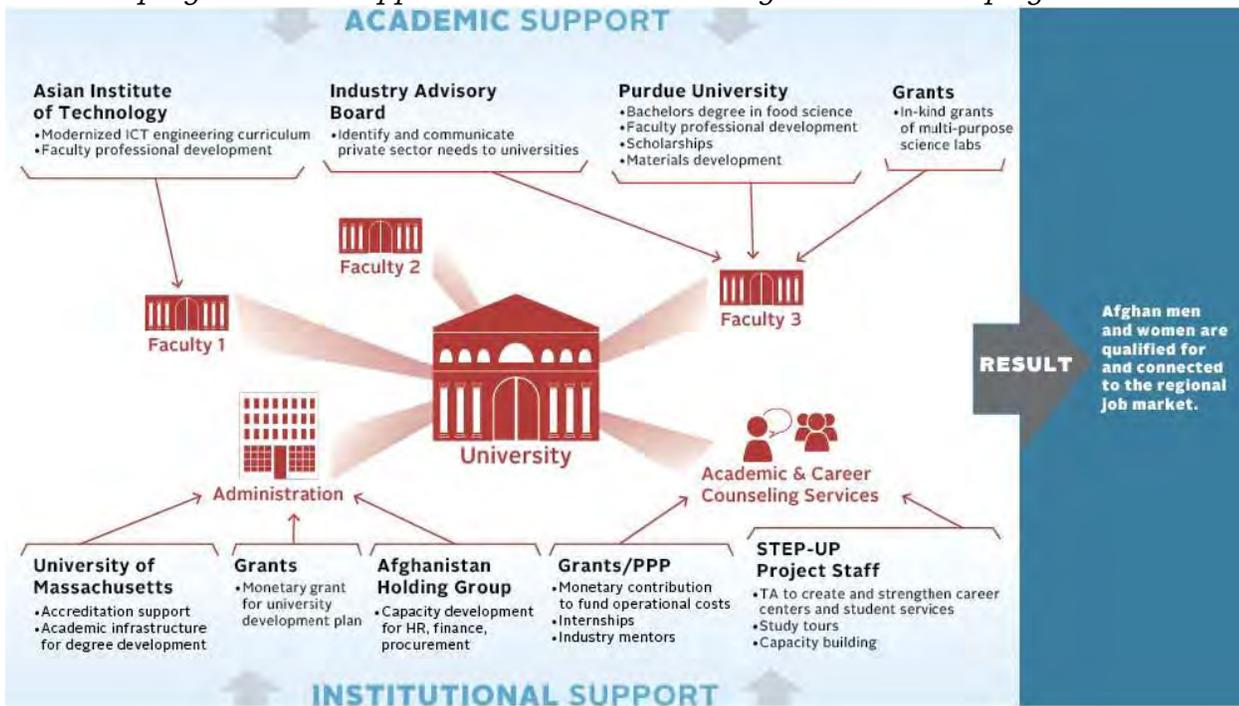
COMPONENT 2: IMPROVE SELECT UNIVERSITY MANAGEMENT SYSTEMS, ACADEMIC PROGRAMS, AND LINKS TO PUBLIC AND PRIVATE SECTOR EMPLOYERS

Afghan universities must overhaul their academic programs and management structure if they are to be competitive regionally at preparing students for employment. The obstacles are deep but not insurmountable. Brain drain has left universities short of skilled faculty members, and low salaries are an obstacle to retention and recruitment. Curricula and teaching methods are often outdated and course offerings limited, yet resistance to change can be intense, particularly among senior faculty members. Establishing financial autonomy for universities is hampered both by national politics and by limited capacity among university staff and faculty. This fragile foundation is stressed by high demand, with more students enrolled than the physical infrastructure can handle. Qualified women are vastly underrepresented in the classroom.

The career prospects of graduates of Afghan universities are hindered by a widely held view that public universities are poorly managed institutions and offer academic programs that fail to prepare students for the rigor and challenges of most employment opportunities. An essential strategy for improving employment prospects will be to recast the reputation of public universities to reflect quality academic programs that prepare students for employment. The FHI 360 consortium will build on lessons learned from the successful work in HEP 1 and 2, the Strengthening Afghan Agricultural Faculties project, and the Advancing Afghan Agriculture Alliance, implemented by team members. We will complement direct capacity building activities with outreach to employers using a sophisticated communications strategy that addresses specifically the concerns and priorities of regional industries. With a higher degree of trust and credibility, the MoHE and universities will be better situated to engage private sector more effectively and build relationships that lead to greater employment opportunities for graduates.

There are several activity streams in this component, including one for university partnerships. The USAID Afghanistan University Support and Workforce Development Program team will facilitate partnerships with each Afghan university in a holistic way, encompassing an integrated set of activities anchored by an institutional development plan established with campus-based Leadership Teams and informed by sector analyses. In aiming to strengthen university leadership, the consortium remains aware of a potential obstacle — that the scale of resources available through the USAID Afghanistan University Support and Workforce Development Program project itself will undermine or distort the incentives for universities to develop alternative sources of support through alliances, partnerships, and grants. The consortium's approach is explicitly intended to counteract this potential consequence by creating incentives for proactive university leadership. Financial resources provided by USAID Afghanistan University Support and Workforce Development Program will complement official funding rather than displacing or overshadowing it. Support in the form of partnerships and grants will be kept in balance with each university's ability to receive and manage external funding.

Figure 1: Illustrative University Partnership. Building bridges to employment, the USAID Afghanistan University Support and Workforce Development Program university partnership model will strengthen university governance and management and create high quality, relevant academic programs and support services that connect graduates to employers.



The breadth of USAID Afghanistan University Support and Workforce Development Program work with any one university may be substantial and multi-faceted. To ensure coordination with universities and to provide tailored support to each institution, FHI 360 will establish a small coordination office on each campus, to facilitate collaboration with university leadership, faculty members, students, and local employers. These offices will serve to ensure that the university partnership packages — the activities conducted by USAID Afghanistan University Support and Workforce Development Program (see Table 3) — are aligned with university priorities as determined by each Leadership Team.

Table 3: University partnership packages

CORE SUPPORT (TO EVERY UNIVERSITY)	TAILORED SUPPORT OPTIONS
<ul style="list-style-type: none"> • Accreditation support • Administrative capacity building (HR, finance, ability to meet MoHE standards) • Development/strengthening of career center and student services • Develop training capacity for faculty development • Develop or refurbish infrastructure for faculty development 	<ul style="list-style-type: none"> <u>Universities/Community College Partners</u> <ul style="list-style-type: none"> • Faculty professional development • Scholarships • Degree development • Curriculum modernization • Materials development <u>PPPs and Global Development Alliances (GDA)</u> <ul style="list-style-type: none"> • Internships • Financial contributions • Materials • Industry advisory board participation <u>Grants</u> <ul style="list-style-type: none"> • In-kind (e.g., laboratories and instructional materials) • Funding (dependent on law and university capacity)

This collaborative approach is dependent upon consistent application of a development philosophy embedded in these process-focused design principles:

- Respect for and high expectations of university leadership with decision rights for TA, training, and programs;
- Local on-campus expertise utilized in all phases of project design and delivery to adaptation of new proposals from USAID Afghanistan University Support and Workforce Development Program;
- Faculty participation in baseline and on-going sector assessments, encouraging a culture of reflective feedback in all phases of the project;
- Equity, transparency and accountability as core values; and
- Sustainability of interventions is a shared responsibility.

Key expected outputs and outcomes of Component 2 work are summarized in Table 4.

Table 4: Outputs and outcomes resulting from Component 2 activities

SUB-COMPONENT	OUTPUTS	OUTCOMES
2.1 Strengthen university administrative, quality assurance and accreditation, and financial management systems.	All 10 USAID Afghanistan University Support and Workforce Development Program universities: <ul style="list-style-type: none"> • Have an institutional development plan • Have documented procedures and databases for tracking student records, faculty records, and budgets • Have key administrative staff members with improved qualifications and skills • Have received and implemented grants 	All 10 USAID Afghanistan University Support and Workforce Development Program universities: <ul style="list-style-type: none"> • Are on track to receive accreditation • Have improved administrative efficiency to manage human and financial resources • Have mechanisms for monitoring and improving academic programs
2.2 Strengthen existing curricula and develop new academic programs and curricula to provide market-oriented knowledge and skills.	<p>All 10 USAID Afghanistan University Support and Workforce Development Program universities have:</p> <ul style="list-style-type: none"> • An active Education and Employment Advisory Committee • Improved alignment between existing academic programs and the skills and knowledge required by employers • Instructors with improved qualifications to teach modern business and technical courses • Instructors that have received scholarships to support research and course development, with a focus on female instructors <p>Select USAID Afghanistan University Support and Workforce Development Program universities³ have:</p> <ul style="list-style-type: none"> • New market-oriented bachelor's degree programs • New market-oriented master's degree programs 	<p>Male and female graduates of bachelor's programs have the necessary skills to find relevant entry-level professional employment.</p> <p>Male and female graduates of graduate programs have the necessary skills to find leadership-level professional employment.</p> <p>Male and female university instructors develop courses and conduct research that contributes to their field of study.</p>
2.3 Develop and pilot an employment-oriented associate's degree program.	Select USAID Afghanistan University Support and Workforce Development Program universities ⁴ have: <ul style="list-style-type: none"> • An Office of Associate Degree Programs • New market-oriented associate degree programs 	Male and female graduates of associate degree programs have the necessary skills to find relevant employment.

SUB-COMPONENT	OUTPUTS	OUTCOMES
<p>2.4 Establish career and partnership centers to link students to practical experience and employment.</p>	<p>All 10 USAID Afghanistan University Support and Workforce Development Program universities have improved</p>	<p>Male and female students are connected with public and private sector employment opportunities.</p>
	<p>Student Services with a focus on student advising and career counseling.</p>	<p>Female students benefit from targeted career support.</p>
	<p>Mentoring program for male and female graduate students established.</p>	<p>Graduate students learn soft skills and receive support from professionals in relevant industries.</p>
	<p>Select USAID Afghanistan University Support and Workforce Development Program universities have distance learning programs.</p>	
	<p>Four industry-based centers of excellence have been established.</p>	
	<p>An online and mobile interactive knowledge platform and community has been established.</p>	
<p>2.5 Establish university partnerships between selected Afghan universities and American or international universities and/or the private sector.</p>	<p>All 10 USAID Afghanistan University Support and Workforce Development Program universities have participated in partnerships that may include:</p> <ul style="list-style-type: none"> • Study abroad scholarships • Study tours • Faculty exchanges • Guest lecturing • Distance learning/video lectures • Internships • Financial support to career centers 	<p>Academic programs are modern, robust, high quality, and relevant to the needs of employers in Afghanistan.</p>

Subcomponent 2.1: Strengthen University administrative, AZ, and accreditation and financial management systems

USAID Afghanistan University Support and Workforce Development Program will provide on-site and centralized capacity building activities tailored to the needs of each of the 10 targeted universities, in close coordination with the MoHE capacity building component (Subcomponent 1.1) and the MoHE quality assurance and accreditation initiative (Subcomponent 2.3). The institutional strengthening component will include:

- **Establish and support a Leadership Team at each university to prioritize capacity development needs.** Leadership and management skills become strengthened through practice. USAID Afghanistan University Support and Workforce Development Program will work with and through a Leadership Team at each university to make resource allocation decisions about program priorities for capacity development and for selecting candidates for training and professional development opportunities. The composition of the Leadership Team will vary by institution, but at a minimum is expected to include the Chancellor, Vice Chancellor for Academic Affairs, the Vice Chancellor for Administration, and faculty members.
- **Develop and implement a five-year institutional development plan for each university.** USAID Afghanistan University Support and Workforce Development Program advisors will guide the Leadership Team to conduct an organizational assessment to inform a set of university development priorities. Using these priorities, USAID Afghanistan University Support and Workforce Development Program will work with each university to create an institutional development plan that will serve as a road map for the design and delivery of training and support activities. As with the MoHE development plan, training will address key areas such as organizational leadership, internal audit, finance and accounting, human resources, procurement, and HEMIS.
- **Establish effective governance procedures for QA and accreditation.** USAID Afghanistan University Support and Workforce Development Program will support QA and accreditation through the following activities:
 - Conduct training for university QA committees to understand MoHE expectations, procedures, and standards with the Office of the Deputy Minister for Academic Affairs, the Directorate of QA, and the Commission on QA and Accreditation.
 - Conduct training on understanding the **peer review process** and addressing the findings in the context of annual improvement plans. Upon completion of the peer reviews, USAID Afghanistan University Support and Workforce Development Program staff will work with the QA committee to address key findings to prepare for the next year's review.
 - USAID Afghanistan University Support and Workforce Development Program will work with the Leadership Team to provide TA and guidance for making improvements so that the university can move either to accreditation candidacy level 2 or full accreditation. This support will continue until the institution achieves full accreditation and is able to sustain these standards.
- **Strengthen university capacity to receive and implement grants.** The FHI 360 team intends to provide each university with appropriate grant funds to complement and enable the institutional plans. This will be implemented as soon as each university puts in place regulatory systems and grant management procedures.

Subcomponent 2.2: Strengthen existing curricula and develop new academic programs and curricula to provide market-oriented knowledge and skills

The FHI 360 team will draw on an extensive international network of universities and workforce experts to strengthen existing curricula and develop new undergraduate and graduate level academic programs. The new associate degree initiative is addressed in Subcomponent 2.3. Project staff will work with the universities to ensure that all three levels of academic offerings are well coordinated, to enhance the market-oriented knowledge and skills in greatest demand. Table 5 lists proposed content areas for each level, to be determined through an Employment Sector analysis as described in the activities below the table.

Table 5: Illustrative degree programs created by USAID Afghanistan University Support and Workforce Development Program.

TYPE OF DEGREE	LEVEL OF EMPLOYMENT AVAILABLE TO GRADUATES	ILLUSTRATIVE DEGREE PROGRAMS
Associate	Mid-level positions in technical and service occupational fields	<ul style="list-style-type: none"> • Information Technology -using the Kabul Polytechnic University (KPU) program as a model • Technical Education -to create specialized instructors • Medical Technician -to provide technical staff for public and private hospitals • Mental Health -to develop and deliver counseling services
Bachelor	High-skill entry level positions in a range of occupational fields	<ul style="list-style-type: none"> • Business/Entrepreneurship • Agribusiness • Counseling/Social Work
Master	Leadership positions in key public and private sector fields	<ul style="list-style-type: none"> <li style="width: 50%;">• Business Administration <li style="width: 50%;">• Public Health <li style="width: 50%;">• Education <li style="width: 50%;">• Engineering <li style="width: 50%;">• Public Policy <li style="width: 50%;">• Agriculture

- **Conduct Employment Sector Analysis.** USAID Afghanistan University Support and Workforce Development Program will create the foundation for informed program development through an industry and employment analysis conducted by core partner, Altai Consulting, in the Regional Economic Zones. Working with the MoHE and Chambers of Commerce across Afghanistan, the analysis will identify the largest current and emerging industries in each region, each industry’s demand for university trained employees and the types of skills and knowledge needed, and the levels of education (associate degree, bachelor degree, or graduate degree) that are most likely to lead to employment for graduates. The analysis will pay particular attention to industries that are appropriate for women to enter as well as industries that might change their gender demographics and encourage more women to apply. Recognizing that the public sector will remain the largest employer of university graduates, key government ministries and other agencies will be included in the analysis. Study teams will include key senior faculty members from universities to establish modes of collaboration between academia and industry, laying the foundation for ongoing partnerships.

- Create Education and Employment Advisory Committees.** The creation of Education and Employment Advisory Committees will formalize and sustain relationships among business leaders, public sector officials, entrepreneurs, and academic leaders. Committees, established at each university, will be responsible for guiding efforts to make academic programs more responsive to the skills and knowledge graduates need. Committee members will inform the revision of existing academic programs, and provide insights into the content of new programs. Moreover, committee members will provide career advice to students, helping to arrange internships apprenticeships that introduce practical work experience as part of academic preparation. Members of the committee also will be well positioned to identify external sources of funding.
- Enhance existing academic programs.** Following the guidance of the Education and Employment Advisory Committees and with the consent of the Leadership Team, USAID Afghanistan University Support and Workforce Development Program will provide the technical expertise and capacity development support the university needs to prioritize and refine existing academic programs. Key steps in the process will be aiding curriculum reviews to better align current curricula with the skills and knowledge required by employers; and faculty development (including pedagogical development) to underpin effective delivery of the strengthened curriculum. USAID Afghanistan University Support and Workforce Development Program will assist in the revision of academic syllabi to include texts written by both male and female scholars. USAID Afghanistan University Support and Workforce Development Program will help faculties develop strategies to provide student academic advising to ensure they are able to be successful in the new programs, despite the introduction of more targeted and rigorous content, and will work with universities to monitor the implementation and effectiveness of new academic programs.
- Provide small grants/scholarships to faculty to support research and course development, with a focus on female faculty.** The effort to focus on faculty development through small grants/scholarships must pay particular attention to the needs of women faculty. Even though women faculty only make up 28% of the total number of faculty, a larger proportion of scholarships will be prioritized for women.
- Create a process for developing new undergraduate and graduate programs.** While there are many elements to creating academic programs, key components include buy-in at all levels (MoHE, university and faculty leadership, faculty members, and students), development of appropriate curricula and academic administration procedures, marketing new programs, implementing student selection processes, recruiting and training faculty, and preparing facilities for instruction. USAID Afghanistan University Support and Workforce Development Program will follow the example of successful new academic programs, including the M.Ed. and MPPA programs developed by HEP, to ensure that the curriculum, faculty, and students are fully supported by the university.

Illustrative partnership: A science-based BS program at Herat University

Field: BS in Food Technology in the Faculty of Agriculture

TA: Curriculum and faculty development, co-teaching, lab training provided by Purdue University

Equipment grant: Multi-purpose science labs available to all faculties

Cost Share: Lab equipment donation,

PPP: Afghan industry co-teaching and internships

University Partnerships: 4 MS scholarships to Punjab Agricultural University, study tours and faculty exchange with Purdue University

Institutional Development Grant:

Faculty and staff grants and stipends for course and lab work

Subcomponent 2.3: Develop and pilot an employment-oriented associate degree program

The creation of Community Colleges at existing public universities is part of the National Higher Education Strategic Plan. Central to the development of the community colleges is the creation of a viable associate degree framework that allows universities to develop specialized technical degrees that students can complete within a shorter time frame than a standard four-year bachelor's degree. USAID Afghanistan University Support and Workforce Development Program's work on associate degrees will build on pilot work undertaken through HEP, which has developed Afghanistan's first associate degree program, in information technology (IT), through two Kabul-based universities. This IT degree program was modeled after the successful approach developed by HEP to design and implement the M.Ed. Program at Shahid Rabani Education University and the MPPA program at Kabul University (KU).

Building on this ongoing work, USAID Afghanistan University Support and Workforce Development Program will work with MoHE and selected universities to develop and implement new associate degree programs at three universities outside of Kabul and continue to work with KPU and Kabul Medical University (KMU) on their plans to develop additional associate degree programs. Specifically, USAID Afghanistan University Support and Workforce Development Program will:

- **Determine demand for and viability of new associate degrees.** USAID Afghanistan University Support and Workforce Development Program will use the Employment Sector Analysis to assess demand for associate degrees and map strategic assets (such as businesses, training facilities, and expert instructors) available in the vicinity of each university.
- **Invite universities interested in creating associate degree programs to a national workshop** that brings together government, business, and academic leaders to explore associate degree program development.
- **Support the establishment of an Associate Degree Steering Committee at each interested university.** This committee will determine the focus and complexity of each associate degree, following the regulatory framework adopted by the MoHE based on KPU's first associate degree program. The committee will include relevant public and private sector representatives who will contribute to all aspects of degree development, including curricula for new associate degree programs, specialized faculty training, internship opportunities, and facilities and specialized resources. As with the KPU associate degree program, internships leading to employment will be required in all associate degree programs. USAID Afghanistan University Support and Workforce Development Program also will provide support for the implementation of new programs through faculty development, the creation of student support strategies, and the development of administrative procedures.
- **Create partnerships with Community Colleges for International Development (CCID).** These partnerships will include American institutions and regional partners

*Illustrative partnership:
Social work and counseling at Kabul University and 2 regional universities*

Field: AA in social work and counseling

TA: LTTA and STTA from Hunter College CUNY and Boston College

University Partnerships: 4 MA scholarships in regional universities, study tours, faculty exchange

Employer GDA: Partnerships and internships with Ministries of Labor, Social Affairs, Martyrs and Disabled, Education, and Public Health

Institutional Development Grant: Faculty stipends for extra work for program development, costs to support on the job training in ministries

including Australia, India and Thailand, as well as faculty exchanges and administrative TA. The FHI 360 consortium has successfully facilitated university partnerships that link campuses to share good practices and provide professional development.

- **Promote the understanding of the nature and purpose of associate’s degrees among government, business and academic leaders.** An important challenge to making the associate degree a viable alternative is the lack of a legal framework for such degrees. Addressing this will involve clarifying the distinct role of this degree – that it is a higher education degree different from traditional four-year degrees and equally well-established technical and vocational training pathways. Education and advocacy around the purpose and benefits of associate-level degrees will necessarily address the need for partnerships between such degree programs and the business and industry leaders in their regions.

Subcomponent 2.4: Establish career and partnership centers and other mechanisms to link students to practical experience and employment

Improving the preparedness and credentials of university graduates will not in and of itself ensure that these graduates find jobs. Numerous reports on workforce linkages (such as McKinsey’s 2012 report, *Education to Employment*) point to the success of models that seek not merely to improve alignment between the world of schooling and the world of work, but which actively bridge them. These models embrace a more modern concept of employment, one that recognizes that a “job for life” awaits only a tiny few, and recognizes that for many, work is often evolving, outsourced, and project-based. This is not inferior work; such opportunities can promote lifelong learning to amass a high-demand skill set and build a career. USAID Afghanistan University Support and Workforce Development Program will take a proactive approach to linking university graduates at all three degree levels with modern employment opportunities, through the following activities:

- **Provide academic advising and career counseling to students.** In the past two years, HEP worked closely with the MoHE and 12 universities supported by the World Bank’s Support to Higher Education Program (SHEP), to expand the concept of student services to include several important functions, including academic advising. USAID Afghanistan University Support and Workforce Development Program will continue supporting the development of a vigorous student services function at each university, and project staff will provide TA to the Deputy Minister for Student Affairs and the student Affairs Directorate at the MoHE to ensure ministry support for the Student Services office at each university.
- **Launch distance learning programs at connected universities.** Six of the ten universities targeted under USAID Afghanistan University Support and Workforce Development Program currently host a high-speed broadband internet connection. USAID Afghanistan University Support and Workforce Development Program will launch distance learning facilities at selected AFREN-connected universities with global university partners. These facilities will be integrated into graduate programs where possible and will feature online courses and video lectures.
- **Establish up to four industry-based Centers of Excellence (CoE).** CoEs will be based on campus at a lead university to provide a physical location for convening the Education and Employment Advisory Committees and hosting technical and research

workshops, information sessions, and social events between industry and faculty.

- **Launch an online and mobile interactive knowledge platform and community.** This community will feature instructional modules in “soft skills” such as resume-building and interview techniques, a jobs board where employers can post employment opportunities, and a general discussion board where university students can start or join general discussions of strategies for career-building. Resources and discussions will be accessible through both online and mobile channels.
- **Establish a mentoring program for male and female graduate students.** The project will set up a mentoring program whereby young female graduate students can learn soft skills such as writing resumes, networking, interviewing, etc. The mentoring will also encourage the building of professional networks.
- **Establish university career centers with a focus on internships and apprenticeships.** Because it can be challenging to place large numbers of student interns, some industry leaders are using physical and virtual simulations (McKinsey, 2012). USAID Afghanistan University Support and Workforce Development Program will work with industry leaders to create and make internships available to students, and with university partners to make skills training games available at university computer labs.

Internship and apprenticeship partners

The FHI 360 consortium has established strong relationships with a number of public institutions, private sector companies, and associations. We will build on these relationships to create internship and apprenticeship programs under Subcomponent 2.4. They include:

Private Sector: AWCC, Azizi Bank, Dawi Oil, Etisalat, Ghazanfar Group, Kam Air, Hashemi Group, Moby Group, MTN, Qara Consulting, Pahna, Paywast, Roshan, Serena Hotel

Public/Semi-Public Sector: Afghanistan International Bank, Afghanistan Investment Support Agency, Afghanistan Land Authority, Afghanistan National Standard Authority, Bayat Foundation, Export Promotion Agency of Afghanistan, Harakat, Jobs.af, Netlinks, New Kabul Bank

Associations: Afghanistan Bankers Association, Afghanistan Chamber of Commerce, American Chamber of Commerce in Afghanistan, Afghanistan Industrial Association

Subcomponent 2.5: Establish university partnerships between selected Afghan universities and American or international universities and/or the private sector

FHI 360 has reserved a substantial pool of funding to develop partnerships needed to implement new degree programs and to strengthen existing degree programs. These partnerships will include relationships with the core FHI 360 university partners (UMASS and Purdue), which will provide assistance with faculty exchange, study tours, scholarships, and TA in management systems and policy development. For any given academic program focus, for example food science, the partners may include a U.S. university (e.g., Purdue) with TA and a regional university for graduate scholarships and faculty exchange. The partnership will be supplemented and supported by the Institutional Development Grants to the institution.

The partnerships will draw on not only UMASS and Purdue, but also on the team’s broad network of U.S. and regional institutions. A number of resource partners have expressed interest in participating in their select fields (See Annex A for Letters of Support from University of Colorado, Hunter College, CCID, Florida State University, Asian Institute of

Technology, Punjab Agricultural University), and we will draw on these existing relationships, as well as on the expertise of FHI 360's Global Connections team, which has existing relationships with most U.S. and international universities.

It is within these partnerships that the GDA alliances with local industry and employers will be most relevant, with active engagement in developing internships, financial support to career centers, guest lecturers, participation in advisory boards, and other proactive elements that build bridges between academia and employers.

D. MONITORING, EVALUATION, AND RESEARCH

USAID Afghanistan University Support and Workforce Development Program aligns closely with two intermediate results in the USAID Performance Management Plan for Afghanistan: Management capacity strengthened to deliver education services at the national and provincial, and district levels (IR 3.1); and increased employability of Afghan youth and adults (IR 3.3). USAID Afghanistan University Support and Workforce Development Program will design interventions, make course corrections, and measure overall progress toward these results using rigorous assessments, monitoring and evaluation, and research. USAID Afghanistan University Support and Workforce Development Program will:

1. Implement high-quality assessments and a comprehensive baseline study that will inform the design of interventions and enable the measurement of change over time;
2. Regularly monitor and report to USAID and key stakeholders on program inputs, outputs, and outcomes;
3. Continuously adapt programming to changing conditions and emerging evidence on what works; and
4. Test the development hypothesis, evaluate performance, and contribute to the evidence base around tertiary education, workforce development, and economic growth in complex environments.

The team remains committed to a utilization-focused approach to monitoring and evaluation (M&E) that involves key stakeholders dedicated to using results for program improvement. FHI 360 has extensive capacity for using technology for data collection, which significantly increases the cost-effectiveness and speed of analyzing data. The project M&E system will also ensure increased participation of women in all activities and in creating sustainable strategies for promoting the participation and role of women in higher education.

ASSESSMENTS AND BASELINE STUDY

The project will begin with numerous assessments and a rigorous, comprehensive baseline study, ensuring responsiveness to local conditions and at the same laying the foundation for measuring program outcomes throughout the life of the program. Assessments in relevant areas are critical for designing and adapting high-quality interventions that are both timely and responsive to local conditions. Initial assessments to inform project design and implementation plans will be conducted in the following areas:

- Human and Institutional Capacity in the MoHE and 10 USAID Afghanistan University Support and Workforce Development Program Universities
- Employment Sector Analysis

Afghanistan is a complex, dynamic environment where conditions can change very quickly. In addition to initial assessments, we will conduct annual assessments at the MoHE and 10

universities in order to test assumptions and identify changing circumstances; results will be used to create semi-annual action plans to address pressing needs. Complementing these assessments, a comprehensive baseline study will establish starting values for all indicators for each subcomponent (see Performance Monitoring Plan in Annex F) to measure change over time.

PROGRAM MONITORING AND DATA QUALITY ASSURANCE

The project's monitoring system will rigorously track data on program inputs, outputs and outcomes, with relevant disaggregation of results, particularly by gender. Outcomes indicators, tracked annually, will largely focus on perceptions of the quality and applicability of the Afghan tertiary education system from the perspectives of university leaders, industry leaders, and program graduates. Ongoing data quality assessments, using FHI 360's Participatory Data Verification and Improvement Tool, will help ensure that the program collects and reports on high-quality, valid, and reliable data.

During the first six months of the project, USAID Afghanistan University Support and Workforce Development Program will engage MoHE, select universities, USAID, and other stakeholders to develop a comprehensive Performance Monitoring Plan (PMP). USAID Afghanistan University Support and Workforce Development Program will ensure that the PMP is aligned with the USAID Afghanistan PMP for Education, USAID Standard Performance Indicators (F-Indicators) and the NHESP.

PERFORMANCE EVALUATIONS

In year two, a mixed-methods performance evaluation will be designed in close consultation with key stakeholders to answer the following evaluation questions:

- What progress has been made towards program targets?
- To what extent is the project being used and delivered in the way that it was designed?
- What are the critical challenges and enabling conditions for effective implementation?
- Given political and institutional realities, how can USAID Afghanistan University Support and Workforce Development Program improve program effectiveness and long-term sustainability?

This evaluation will include case studies of several universities to examine how they are improving human and institutional capacity to deliver high-quality and market-driven associate, undergraduate, and graduate degrees. Another component will examine changes in the MoHE and other government institutions resulting from the project, particularly in relation to the sustainable development of government capacity, using the "Institutional Development Framework" that FHI 360 has successfully employed in South Sudan and elsewhere.

In years two and four, FHI 360 will apply its Program and Technical Quality Assurance (PTQA) process to assess project implementation against standards for project management, technical areas, and monitoring and evaluation and follow up by creating action plans for program improvement. The results will be used to make course corrections and continuously improve implementation, progress towards achieving outcomes, and sustainability.

RESEARCH

USAID Afghanistan University Support and Workforce Development Program proposes a series of studies to examine 1) university-level management capacity to deliver quality education services and 2) the linkages between tertiary education and the workforce in Afghanistan.

First, a longitudinal study will examine changes over time in institutional development at participating USAID Afghanistan University Support and Workforce Development Program universities. The study will aim to answer the question, “To what extent are USAID Afghanistan University Support and Workforce Development Program universities developing the financial, administrative and programmatic capacity needed to continually improve the quality and equitable provision of services for Afghan women and men?” Key sources of data will include institutional self-assessment reports, which are an important component of the quality assurance and accreditation process, as well as surveys and interviews with university staff, students, and public and private sector employers to assess policies, knowledge, skills, commitments, and behaviors.

Second, a longitudinal tracer study will be implemented for the duration of the project. The goal will be to trace sets of graduates of the degree programs as they enter, or fail to enter, the labor market. This study will seek to answer the following research questions:

- What strategies do graduates of a given degree program use to seek professional employment; how do faculty, administrators, and peers contribute to these efforts; and what challenges do graduates face in the process?
- How do the employment outcomes, strategies, institutional support, and challenges differ based on the gender or ethnic group membership of the graduates?
- To what extent and how does USAID Afghanistan University Support and Workforce Development Program programming improve the transition of graduates into the professional workforce?
- What are the opportunities available to students and the strategies they use to seek professional employment?

Using primarily qualitative methods, the study will provide insight into the lived realities of graduates as they seek employment in a challenging job market.

A third study, also longitudinal, will examine industry dynamics in key fields and how they change over the course of the project. Initially, the study will seek to understand what openings are available for engaging industry in university planning, student career development, and more, using the findings to inform programming. Over time, the study will examine changes in industry perceptions of the quality of the Afghan university system.

Key to all studies is the identification of relevant (quantitative and qualitative) indicators, the development of valid and reliable measures, and the broad dissemination of findings. The goal of these studies is to inform future tertiary education and workforce development programs in Afghanistan and other complex environments.

RESULTS REPORTING & DISSEMINATION

Reporting to USAID on M&E data will primarily be linked to quarterly reporting. Also, as appropriate, the data will be reported on Afghan-Info for use by USAID and other counterpart agencies. Evaluation and research reports will be shared with USAID and other related institutions on a periodic basis. USAID Afghanistan University Support and

Workforce Development Program will also regularly report to project stakeholders, including the MoHE, and to USAID Afghanistan University Support and Workforce Development Program universities and faculties. As appropriate, important findings and results from USAID Afghanistan University Support and Workforce Development Program monitoring, evaluation and research activities will be presented at conferences and submitted to peer-reviewed publications as a contribution to the broader professional and academic literature.

2. STAFFING PLAN AND KEY PERSONNEL

FHI 360 and its partners have assembled a highly qualified team of experts with deep experience and proven success in improving the quality and relevance of higher education programs, and managing development programs in conflict countries, with particular knowledge and experience in Afghanistan. This team has demonstrated ability to achieve successful outcomes in higher education in Afghanistan in the HEP 1 and 2 programs, SAAF and A4 programs, and in workforce development and linkages in the AWDP program and the Extractive Sector Employment and MIS Capabilities Assessment. Individuals in the management team, both key personnel and non-key long-term and short-term personnel, provide an unrivaled knowledge and capacity in higher education development in Afghanistan, as well as in analysis and support for private sector development. Drawing on the depth, capacity, and networks of FHI 360, UMASS and Purdue University, we will engage an effective constellation of regional and U.S.-based universities and community colleges to partner with Afghan universities in program development in selected areas. Drawing on the expertise and networks of Altai Consulting and the Afghanistan Holding Group, we will establish effective PPPs between employers and universities based on a deep understanding of the employment patterns and opportunities in each region and industry in Afghanistan.

The proposed organizational structure reflects the complex objectives and management challenges of USAID Afghanistan University Support and Workforce Development Program, including the following activity streams:

- MoHE policy and systems, including university oversight, quality assurance, and administrative procedures.
- Institutional capacity building in both the MoHE and 10 universities that reflects the emerging legal framework, responsibilities, and authorities.
- Engagement at the *institutional* level of each university for capacity building and institutional strengthening, student counseling and career centers, support for managing autonomy, and academic program development for new degrees.
- Engagement at the *faculty* level of each university, in different disciplines, to develop and strengthen academic offerings, including new degree programs.
- Building bridges between individual faculties and the industries and employers who may hire graduates.

The management plan is designed to have a clear internal structure for efficient and effective implementation based on strong operating systems, as well as being organized for the most effective external linkages for development engagement with partner institutions in the Ministry and Universities. The organizational structure for USAID Afghanistan University Support and Workforce Development Program addresses these key criteria:

- Establish effective and cost-efficient staffing and management streams, with clear responsibility, accountability, and authority for each management stream.

- Establish clear alignment between the project and key Afghan institutions and stakeholders to ensure capacity building and effective teaming. Each activity stream will be closely paired with the counterpart position and entity in an Afghan institution to develop capacity.
- Establish time-limited expatriate positions with a senior Afghan counterpart who will assume direct management responsibility by year three. With the exception of several key positions, the program will be primarily Afghan-staffed and led by year three.
- A small coordination staff will be placed in each partner university to ensure overall coordination of USAID Afghanistan University Support and Workforce Development Program activities from the different streams (scholarships, university partnerships, global development alliances, TA, capacity building, etc.).
- Finance and operations management with clear division of responsibilities, checks and balances, and an independent compliance office to ensure compliance with all policies and procedures.

ATTACHMENT C - STANDARD PROVISIONS

MANDATORY STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

The Agreement incorporates the following Standard Provisions as set forth in ADS Chapter 303 and applies for the administration of Assistance Award to U.S Nongovernmental Organizations. The full texts of these Mandatory Standard Provisions can be found at the website indicated here and are set forth as part of Attachment C of this Award.

<http://inside.usaid.gov/ADS/300/303maa.pdf>.

➤ MANDATORY STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

- M1. APPLICABILITY OF 22 CFR PART 226 (MAY 2005)
- M2. INELIGIBLE COUNTRIES (MAY 1986)
- M3. NONDISCRIMINATION (JUNE 2012)
- M4. AMENDMENT OF AWARD (JUNE 2012)
- M5. NOTICES (JUNE 2012)
- M6. SUBAGREEMENTS (JUNE 2012)
- M7. OMB APPROVAL UNDER THE PAPERWORK REDUCTION ACT (DECEMBER 2003)
- M8. USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (JUNE 2012)
- M9. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JUNE 2012)
- M10. DRUG-FREE WORKPLACE (JUNE 2012)
- M11. EQUAL PARTICIPATION BY FAITH-BASED ORGANIZATIONS (JUNE 2012)
- M12. PREVENTING TERRORIST FINANCING-IMPLEMENTATION OF E.O. 13224 (AUG 2013)
- M13. MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (AUGUST 2013)
- M14. REGULATIONS GOVERNING EMPLOYEES (AUGUST 1992)
- M15. CONVERSION OF UNITED STATES DOLLARS TO LOCAL CURRENCY (NOV 1985)
- M16. USE OF POUCH FACILITIES (AUGUST 1992)
- M17. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (AUGUST 2013)
- M18. OCEAN SHIPMENT OF GOODS (JUNE 2012)
- M19. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)
- M20. TRAFFICKING IN PERSONS (JUNE 2012)
- M21. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND PUBLICATIONS (JUNE 2012)
- M.22 LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

M1. APPLICABILITY OF 22 CFR PART 226 (MAY 2005)

a. All provisions of 22 CFR 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of “Recipient” in part 226, unless a section specifically excludes a subrecipient from coverage. The recipient must assure that subrecipients have copies of all the attached standard provisions.

b. For any subawards made with Non-U.S. subrecipients the recipient must include the applicable “Standard Provisions for Non-US Nongovernmental Organizations.” Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

[END OF PROVISION]

M2. INELIGIBLE COUNTRIES (MAY 1986)

Unless otherwise approved by the USAID Agreement Officer, funds will only be expended for assistance to countries eligible for assistance under the Foreign Assistance Act of 1961, as amended, or under acts appropriating funds for foreign assistance.

[END OF PROVISION]

M3. NONDISCRIMINATION (JUNE 2012)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the basis of race, color, national origin, age, disability, or sex under any program or activity funded by this award when work under the grant is performed in the U.S. or when employees are recruited from the U.S.

Additionally, USAID is committed to achieving and maintaining a diverse and representative workforce and a workplace free of discrimination. Based on law, Executive Order, and Agency policy, USAID prohibits discrimination, including harassment, in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, disability, age, veteran’s status, sexual orientation, genetic information, marital status, parental status, political affiliation, and any other conduct that does not adversely affect the performance of the employee.

In addition, the Agency strongly encourages its recipients and their subrecipients and vendors (at all tiers), performing both in the U.S. and overseas, to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees on these expanded bases, subject to applicable law.

[END OF PROVISION]

M4. AMENDMENT OF AWARD (JUNE 2012)

This award may only be amended in writing, by formal amendment or letter, signed by the Agreement Officer (AO), and in the case of a bilateral amendment, by the AO and an authorized official of the recipient.

[END OF PROVISION]

M5. NOTICES (JUNE 2012)

Any notice given by USAID or the recipient is sufficient only if in writing and delivered in person, mailed or e-mailed as follows:

- (1) To the USAID Agreement Officer, at the address specified in this award; or
- (2) To the recipient, at the recipient's address shown in this award, or to such other address specified in this award.

[END OF PROVISION]

M6. SUBAGREEMENTS (JUNE 2012)

- a. Subawardees and contractors have no relationship with USAID under the terms of this award. All required USAID approvals must be directed through the recipient to USAID.
- b. Notwithstanding any other term of this award, subawardees and contractors have no right to submit claims directly to USAID and USAID assumes no liability for any third party claims against the recipient.

[END OF PROVISION]

M7. OMB APPROVAL UNDER THE PAPERWORK REDUCTION ACT (DEC 2003)

Information collection requirements imposed by this award are covered by OMB approval number 0412-0510; the current expiration date is 04/30/2005. The Standard Provisions containing the requirement and an estimate of the public reporting burden (including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information) are

<u>Standard Provision</u>	<u>Burden Estimate</u>
Air Travel and Transportation	1 (hour)
Ocean Shipment of Goods	.5
Patent Rights	.5
Publications	.5
Negotiated Indirect Cost Rates - (Predetermined and Provisional)	1
Voluntary Population Planning	.5
Protection of the Individual as a Research Subject	1
 <u>22 CFR 226</u>	 <u>Burden Estimate</u>
22 CFR 226.40-.49, Procurement of Goods and Services	1
22 CFR 226.30 -.36, Property Standards	1.5

Comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, may be sent to the Office of Acquisition and Assistance, Policy Division (M/OAA/P), U.S. Agency for International Development, Washington, DC 20523-7801 and to the Office of Management and Budget, Paperwork Reduction Project (0412-0510), Washington, DC 20503.

[END OF PROVISION]

M8. USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (JUNE 2012)

a. This provision is not applicable to commodities or services that the recipient provides with private funds as part of a cost-sharing requirement, or with Program Income generated under this award.

b. Ineligible and Restricted Commodities and Services:

(1) Ineligible Commodities and Services. The recipient must not, under any circumstances, procure any of the following under this award:

- (i) Military equipment,
- (ii) Surveillance equipment,
- (iii) Commodities and services for support of police or other law enforcement activities,
- (iv) Abortion equipment and services,
- (v) Luxury goods and gambling equipment, or
- (vi) Weather modification equipment.

(2) Ineligible Suppliers. Any firms or individuals that do not comply with the requirements in Standard Provision, “Debarment, Suspension and Other Responsibility Matters” and Standard Provision, “Preventing Terrorist Financing” must not be used to provide any commodities or services funded under this award.

(3) Restricted Commodities. The recipient must obtain prior written approval of the Agreement Officer (AO) or comply with required procedures under an applicable waiver, as provided by the AO when procuring any of the following commodities:

- (i) Agricultural commodities,
- (ii) Motor vehicles,
- (iii) Pharmaceuticals,
- (iv) Pesticides,
- (v) Used equipment,
- (vi) U.S. Government-owned excess property, or
- (vii) Fertilizer.

c. Source and Nationality:

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in this award and must meet the source and nationality requirements set forth in 22 CFR 228. If the geographic code is not specified, the authorized geographic code is 937. When the total value of procurement for commodities and services during the life of this award is valued at \$250,000 or less, the authorized geographic code for procurement of all goods and services to be reimbursed under this award is code 935. For a current list of countries within each geographic code, see: <http://inside.usaid.gov/ADS/300/310.pdf>.

d. Guidance on the eligibility of specific commodities and services may be obtained from the AO. If USAID determines that the recipient has procured any commodities or services under this award contrary to the requirements of this provision, and has received payment for such purposes, the AO may require the recipient to refund the entire amount of the purchase.

e. This provision must be included in all subagreements, including subawards and contracts, which include procurement of commodities or services.

[END OF PROVISION]

M9. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JUNE 2012)

a. The recipient agrees to notify the Agreement Officer (AO) immediately upon learning that it or any of its principals:

(1) Are presently excluded or disqualified from covered transactions by any Federal department or agency;

(2) Have been convicted within the preceding three-year period preceding this proposal; been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

(3) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph a.(2); and

(4) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.

b. The recipient agrees that, unless authorized by the AO, it will not knowingly enter into any subagreements or contracts under this award with a person or entity that is included on the Excluded Parties available at www.sam.gov. The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award:

DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (JUNE 2012)

The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

c. The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in Subpart C of 2 CFR Section 180, as supplemented by 2 CFR 780.

[END OF PROVISION]

M10. DRUG-FREE WORKPLACE (JUNE 2012)

a. The recipient must comply with drug-free workplace requirements in subpart B (or subpart C, if the recipient is an individual) of 2 CFR 782, which adopts the Government-wide implementation (2 CFR part 182) of sec. 5152–5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100–690, Title V, Subtitle D; 41 U.S.C. 701–707).

[END OF PROVISION]

M11. EQUAL PARTICIPATION BY FAITH-BASED ORGANIZATIONS (JUNE 2012)

a. Faith-Based Organizations Encouraged.

Faith-based organizations are eligible to compete on an equal basis as any other organization to participate in USAID programs. Neither USAID nor entities that make and administer subawards of USAID funds will discriminate for or against an organization on the basis of the organization's religious character or affiliation. A faith-based organization may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, within the limits contained in this provision. More information can be found at the USAID Faith-Based and Community Initiatives Web site:

http://transition.usaid.gov/our_work/global_partnerships/fbci/ and 22 CFR 205.1.

b. Inherently Religious Activities Prohibited.

(1) Inherently religious activities include, among other things, worship, religious instruction, prayer, or proselytization.

(2) The recipient must not engage in inherently religious activities as part of the programs or services directly funded with financial assistance from USAID. If the recipient engages in inherently religious activities, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary.

(3) These restrictions apply equally to religious and secular organizations. All organizations that participate in USAID programs, including religious ones, must carry out eligible activities in accordance with all program requirements and other applicable requirements governing USAID-funded activities.

(4) These restrictions do not apply to USAID-funded programs where chaplains work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.

(5) Notwithstanding the restrictions of b.(1) and (2), a religious organization that participates in USAID-funded programs or services

(i) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities,

(ii) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols, and

(iii) Retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.

c. Construction of Structures Used for Inherently Religious Activities Prohibited. The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities, such as sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship. Except for a structure used as its principal place of worship, where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities.

d. Discrimination Based on Religion Prohibited. The recipient must not discriminate against any beneficiary or potential beneficiary on the basis of religion or religious belief as part of the programs or services directly funded with financial assistance from USAID.

e. A religious organization's exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702(a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1 is not forfeited when the organization receives financial assistance from USAID.

f. The Secretary of State may waive the requirements of this section in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States.

[END OF PROVISION]

M12. PREVENTING TERRORIST FINANCING -- IMPLEMENTATION OF E.O. 13224 (AUGUST 2013)

a. The recipient must not engage in transactions with, or provide resources or support to, individuals and organizations associated with terrorism, including those individuals or entities that appear on the Specially Designated Nationals and Blocked Persons List maintained by the U.S. Treasury (online at: <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>) or the United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

b. This provision must be included in all subagreements, including subawards and contracts issued under this award.

[END OF PROVISION]

M13. MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (AUGUST 2013)

a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and landmark with the tagline "from the American people." The USAID Identity is on the USAID Web site at www.usaid.gov/branding. Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:

(1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;

(2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;

(3) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

c. The AO may require a preproduction review of program materials and “public communications” (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to the Agreement Officer’s Representative (AOR) and to USAID's Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:

“The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide.”

e. Any “public communication” in which the content has not been approved by USAID must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

f. The recipient must provide the USAID AOR with two copies of all program and communications materials produced under this award.

g. The recipient may request an exception from USAID marking requirements when USAID marking requirements would:

(1) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(2) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(3) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications;

(4) Impair the functionality of an item;

(5) Incur substantial costs or be impractical;

(6) Offend local cultural or social norms, or be considered inappropriate; or

(7) Conflict with international law.

h. The recipient may submit a waiver request of the marking requirements of this provision or the Marking Plan, through the AOR, when USAID-required marking would pose compelling political, safety, or security concerns, or have an adverse impact in the cooperating country.

(1) Approved waivers “flow down” to subagreements, including subawards and contracts, unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(2) USAID determinations regarding waiver requests are subject to appeal by the recipient, by submitting a written request to reconsider the determination to the cognizant Assistant Administrator.

i. The recipient must include the following marking provision in any subagreements entered into under this award:

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s, or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

M14. REGULATIONS GOVERNING EMPLOYEES (AUGUST 1992)

(The following applies to the recipient's employees working in the cooperating country under the agreement who are not citizens of the cooperating country.)

a. The recipient's employees must maintain private status and may not rely on local U.S. Government offices or facilities for support while under this grant.

b. The sale of personal property or automobiles by recipient employees and their dependents in the foreign country to which they are assigned are subject to the same limitations and prohibitions which apply to direct-hire USAID personnel employed by the Mission, including the rules contained in 22 CFR 136, except as this may conflict with host government regulations.

- c. Other than work to be performed under this award for which an employee is assigned by the recipient, employees of the recipient must not engage directly or indirectly, either in the individual's own name or in the name or through an agency of another person, in any business, profession, or occupation in the foreign countries to which the individual is assigned. In addition, the individual must not make loans or investments to or in any business, profession, or occupation in the foreign countries to which the individual is assigned.
- d. The recipient's employees, while in a foreign country, are expected to show respect for its conventions, customs, and institutions, to abide by its applicable laws and regulations, and not to interfere in its internal political affairs.
- e. In the event the conduct of any recipient employee is not in accordance with the preceding paragraphs, the recipient's chief of party must consult with the USAID Mission Director and the employee involved, and must recommend to the recipient a course of action with regard to such employee.
- f. The parties recognize the rights of the U.S. Ambassador to direct the removal from a country of any U.S. citizen or the discharge from this grant award of any third country national when, in the discretion of the Ambassador, the interests of the United States so require.
- g. If it is determined, either under e. or f. above, that the services of such employee should be terminated, the recipient must use its best efforts to cause the return of such employee to the United States, or point of origin, as appropriate.

[END OF PROVISION]

M15. CONVERSION OF UNITED STATES DOLLARS TO LOCAL CURRENCY (NOVEMBER 1985)

Upon arrival in the cooperating country, and from time to time as appropriate, the recipient's chief of party must consult with the Mission Director who must provide, in writing, the procedure the recipient and its employees must follow in the conversion of United States dollars to local currency. This may include, but is not limited to, the conversion of currency through the cognizant United States Disbursing Officer or Mission Controller, as appropriate.

[END OF PROVISION]

M16. USE OF POUCH FACILITIES (AUGUST 1992)

a. Use of diplomatic pouch is controlled by the Department of State. The Department of State has authorized the use of pouch facilities for USAID recipients and their employees as a general policy, as detailed in items (1) through (6) below. However, the final decision regarding use of pouch facilities rest with the Embassy or USAID Mission. In consideration of the use of pouch facilities, the recipient and its employees agree to indemnify and hold harmless, the Department of State and USAID for loss or damage occurring in pouch transmission:

(1) Recipients and their employees are authorized use of the pouch for transmission and receipt of up to a maximum of .9 kgs per shipment of correspondence and documents needed in the administration of assistance programs.

(2) U.S. citizen employees are authorized use of the pouch for personal mail up to a maximum of .45 kgs per shipment (but see a.(3) below).

(3) Merchandise, parcels, magazines, or newspapers are not considered to be personal mail for purposes of this standard provision and are not authorized to be sent or received by pouch.

(4) Official and personal mail pursuant to a.(1) and (2) above sent by pouch should be addressed as follows:

Name of individual or organization (followed by letter symbol "G")
City Name of post (USAID/_____)
Agency for International Development
Washington, DC 20523-0001

(5) Mail sent via the diplomatic pouch may not be in violation of U.S. Postal laws and may not contain material ineligible for pouch transmission.

(6) Recipient personnel are NOT authorized use of military postal facilities (APO/FPO). This is an Adjutant General's decision based on existing laws and regulations governing military postal facilities and is being enforced worldwide.

b. The recipient is responsible for advising its employees of this authorization, these guidelines, and limitations on use of pouch facilities.

c. Specific additional guidance on grantee use of pouch facilities in accordance with this standard provision is available from the Post Communication Center at the Embassy or USAID Mission.

[END OF PROVISION]

M17. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (AUGUST 2013)

a. PRIOR BUDGET APPROVAL

Direct charges for travel costs for international air travel by individuals are allowable only when each international trip has received prior budget approval. Such approval is met when all of the following are met:

(1) The trip is identified by providing the following information: the number of trips, the number of individuals per trip, and the origin and destination countries or regions;

(2) All of the information noted at a.(1) above is incorporated in the Schedule of this award or amendments to this award; and

(3) The costs related to the travel are incorporated in the budget of this award.

The Agreement Officer (AO) may approve, in writing, international travel costs that have not been incorporated in this award. To obtain AO approval, the recipient must request approval at least three weeks before the international travel, or as far in advance as possible. The

recipient must keep a copy of the AO's approval in its files. No other clearance (including country clearance) is required for employees of the recipient, its subrecipients or contractors. International travel by employees who are not on official business of the recipient, such as rest and recuperation (R&R) travel offered as part of an employee's benefits package, must be consistent with the recipient's personnel and travel policies and procedures and does not require approval.

b. TRAVEL COSTS

All travel costs must comply with the applicable cost principles and must be consistent with those normally allowed in like circumstances in the recipient's non-USAID-funded activities. Costs incurred by employees and officers for travel, including air fare, costs of lodging, other subsistence, and incidental expenses, may be considered reasonable and allowable only to the extent such costs do not exceed reasonable charges normally allowed by the recipient in its regular operations as the result of the recipient organization's written travel policy and are within the limits established by the applicable cost principles.

In the absence of a reasonable written policy regarding international travel costs, the standard for determining the reasonableness of reimbursement for international travel costs will be the Standardized Regulations (Government Civilians, Foreign Areas), published by the U.S. Department of State, as from time to time amended. The most current Standardized Regulations on international travel costs may be obtained from the AO. In the event that the cost for air fare exceeds the customary standard commercial airfare (coach or equivalent) or the lowest commercial discount airfare, the recipient must document one of the allowable exceptions from the applicable cost principles.

c. FLY AMERICA ACT RESTRICTIONS

(1) The recipient must use U.S. Flag Air Carriers for all international air transportation (including personal effects) funded by this award pursuant to the Fly America Act and its implementing regulations to the extent service by such carriers is available.

(2) In the event that the recipient selects a carrier other than a U.S. Flag Air Carrier for international air transportation, in order for the costs of such international air transportation to be allowable, the recipient must document such transportation in accordance with this provision and maintain such documentation pursuant to the Standard Provision, "Accounting, Audit and Records." The documentation must use one of the following reasons or other exception under the Fly America Act:

(i) The recipient uses a European Union (EU) flag air carrier, which is an airline operating from an EU country that has signed the US-EU "Open Skies" agreement (<http://www.state.gov/e/eb/rls/othr/ata/i/ic/170684.htm>).

(ii) Travel to or from one of the following countries on an airline of that country when no city pair fare is in effect for that leg (see <http://apps.fas.gsa.gov/citypairs/search/>):

- a. Australia on an Australian airline,
- b. Switzerland on a Swiss airline, or
- c. Japan on a Japanese airline;

(iii) Only for a particular leg of a route on which no US Flag Air Carrier provides service on that route;

(iv) For a trip of 3 hours or less, the use of a US Flag Air Carrier at least doubles the travel time;

(v) If the US Flag Air Carrier offers direct service, use of the US Flag Air Carrier would increase the travel time by more than 24 hours; or

(vi) If the US Flag Air Carrier does not offer direct service,

a. Use of the US Flag Air Carrier increases the number of aircraft changes by 2 or more,

b. Use of the US Flag Air Carrier extends travel time by 6 hours or more, or

c. Use of the US Flag Air Carrier requires a layover at an overseas interchange of 4 hours or more.

d. DEFINITIONS

The terms used in this provision have the following meanings:

(1) "Travel costs" means expenses for transportation, lodging, subsistence (meals and incidentals), and related expenses incurred by employees who are on travel status on official business of the recipient for any travel outside the country in which the organization is located. "Travel costs" do not include expenses incurred by employees who are not on official business of the recipient, such as rest and recuperation (R&R) travel offered as part of an employee's benefits package that are consistent with the recipient's personnel and travel policies and procedures.

(2) "International air transportation" means international air travel by individuals (and their personal effects) or transportation of cargo by air between a place in the United States and a place outside thereof, or between two places both of which are outside the United States.

(3) "U.S. Flag Air Carrier" means an air carrier on the list issued by the U.S. Department of Transportation at

<http://ostpxweb.dot.gov/aviation/certific/certlist.htm>. U.S. Flag Air Carrier service also includes service provided under a code share agreement with another air carrier when the ticket, or documentation for an electronic ticket, identifies the U.S. flag air carrier's designator code and flight number.

(4) For this provision, the term "United States" includes the fifty states, Commonwealth of Puerto Rico, possessions of the United States, and the District of Columbia.

e. SUBAGREEMENTS

This provision must be included in all subagreements, including all subawards and contracts, under which this award will finance international air transportation.

[END OF PROVISION]

M18. OCEAN SHIPMENT OF GOODS (JUNE 2012)

a. Prior to contracting for ocean transportation to ship goods purchased or financed with USAID funds under this award, the recipient must contact the office below to determine the flag and class of vessel to be used for shipment:

U.S. Agency for International Development,
Office of Acquisition and Assistance, Transportation Division
1300 Pennsylvania Avenue, NW
Washington, DC 20523-7900
Email: oceantransportation@usaid.gov

b. This provision must be included in all subagreements, including subwards and contracts.

[END OF PROVISION]

M19. VOLUNTARY POPULATION PLANNING ACTIVITIES - MANDATORY REQUIREMENTS (MAY 2006)

Requirements for Voluntary Sterilization Programs

(1) Funds made available under this award must not be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

Prohibition on Abortion-Related Activities:

(1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term “motivate,” as it relates to family planning assistance, must not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

[END OF PROVISION]

M20. TRAFFICKING IN PERSONS (JUNE 2012)

a. USAID is authorized to terminate this award, without penalty, if the recipient or its employees, or any subrecipient or its employees, engage in any of the following conduct:

(1) Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) during the period of this award;

(2) Procurement of a commercial sex act during the period of this award; or

(3) Use of forced labor in the performance of this award.

b. For purposes of this provision, “employee” means an individual who is engaged in the performance of this award as a direct employee, consultant, or volunteer of the recipient or any subrecipient.

c. The recipient must include in all subagreements, including subawards and contracts, a provision prohibiting the conduct described in a (1)-(3) by the subrecipient, contractor or any of their employees.

[END OF PROVISION]

M21. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND PUBLICATIONS (JUNE 2012)

a. Submissions to the Development Experience Clearinghouse (DEC).

1) The recipient must provide the Agreement Officer’s Representative one copy of any Intellectual Work that is published, and a list of any Intellectual Work that is not published.

2) In addition, the recipient must submit Intellectual Work, whether published or not, to the DEC, either on-line (preferred) or by mail. The recipient must review the DEC Web site for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at: <http://dec.usaid.gov>.

3) For purposes of submissions to the DEC, Intellectual Work includes all works that document the implementation, evaluation, and results of international development assistance activities developed or acquired under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient’s information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.

4) Each document submitted should contain essential bibliographic information, such as 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) development objective; and 6) date of publication.

5) The recipient must not submit to the DEC any financially sensitive information or personally identifiable information, such as social security numbers, home addresses and dates of birth. Such information must be removed prior to submission. The recipient must not submit classified documents to the DEC.

b. In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost must be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

[END OF PROVISION]

M. 22 LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

a) Construction is not eligible for reimbursement under this award unless specifically identified in paragraph d) below.

b) Construction means —construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

c) Agreement Officers will not approve any subawards or procurements by recipients for construction activities that are not listed in paragraph d) below. USAID will reimburse allowable costs for only the construction activities listed in this provision not to exceed the amount specified in the construction line item of the award budget. The recipient must receive prior written approval from the AO to transfer funds allotted for construction activities to other cost categories, or vice versa.

d) Description

[Construction is not eligible for reimbursement under this award]

e) The recipient must include this provision in all subawards and procurements and make vendors providing services under this award and subrecipients aware of the restrictions of this provision.

[END OF PROVISION]

[END OF MANDATORY STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS]

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

The Agreement incorporates the following Required as Applicable Standard Provisions as set forth in ADS Chapter 303 and applies for Administration of Assistance Awards to U.S Nongovernmental Organizations. The full texts of these Required as Applicable Standard Provisions can be found at the website indicated here. (<http://inside.usaid.gov/ADS/300/303maa.pdf>). All as applicable standard provisions were selected based on the applicability criteria to this award.

- RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (APRIL 1998)
- RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
- RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOV 1985)
- RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
- RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
- RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
- RAA12. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
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- RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUG 2013)

(END OF PROVISION)

RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (APRIL 1998)

- a. Provisional indirect cost rates must be established for each of the recipient's accounting periods during the term of this award. Pending establishment of revised provisional or final rates, allowable indirect costs must be reimbursed at the rates, on the bases, and for the periods shown in the schedule of the award.
- b. Within the earlier of 30 days after receipt of the A-133 audit report or nine months after the end of the audit period, the recipient must submit to the cognizant agency for audit the required OMB Circular A-133 audit report, proposed final indirect cost rates, and supporting cost data. If USAID is the cognizant agency or no cognizant agency has been designated, the recipient must submit four copies of the audit report, along with the proposed final indirect cost rates and supporting cost data, to the Overhead, Special Costs, and Closeout Branch, Office of Acquisition and Assistance, USAID, Washington, DC 20523-7802. The proposed rates must be based on the recipient's actual cost experience during that fiscal year. Negotiations of final indirect cost rates must begin soon after receipt of the recipient's proposal.
- c. Allowability of costs and acceptability of cost allocation methods must be determined in accordance with the applicable cost principles.
- d. The results of each negotiation must be set forth in a written indirect cost rate agreement signed by both parties. Such agreement is automatically incorporated into this award and must specify (1) the agreed upon final rates, (2) the bases to which the rates apply, (3) the fiscal year for which the rates apply, and (4) the items treated as direct costs. The agreement must not change any monetary ceiling, award obligation, or specific cost allowance or disallowance provided for in this award.
- e. Pending establishment of final indirect cost rate(s) for any fiscal year, the recipient must be reimbursed either at negotiated provisional rates or at billing rates acceptable to the Agreement Officer, subject to appropriate adjustment when the final rates for the fiscal year are established. To prevent substantial overpayment or underpayment, the provisional or billing rates may be prospectively or retroactively revised by mutual agreement.
- f. Failure by the parties to agree on final rates is a 22 CFR 226.90 dispute.

[END OF PROVISION]

RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)

For any Exchange Visitor, Participant Training or Invitational Travel activities, the recipient must comply with this provision.

a. Definitions:

(1) An **Exchange Visitor** is any host-country or third-country national traveling to the U.S., for any purpose, including Participant Training and Invitational Travel, funded by USAID in whole or in part, directly or indirectly.

(2) A **Participant** is a host-country or third-country national sponsored by USAID for a Participant Training activity taking place in the U.S., a third country, or in the host country.

(3) **Participant Training** is a learning activity conducted within the U.S., a third country, or in the host 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 or skills for the professional or technical enhancement of the individual. Learning 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.

(4) **Invitational Travel** is a type of travel that USAID funds for non-U.S. Government employees. This type of travel may be approved for both U.S. and foreign citizens who are not employed by the U.S. Government (USG), not receiving any type of compensation from the USG for such travel, and only when it is determined that the functions to be performed are essential to the interests of USAID.

b. Program Monitoring and Data Reporting: The recipient must monitor Exchange Visitors' and Participants' progress during their program and ensure that problems are identified and resolved quickly.

(1) For U.S.-based activities, the recipient must use USAID's official Exchange Visitor and Participant Training information system, currently called "Training Results and Information Network – TraiNet" (see <http://trainethelp.usaid.gov/>), to report and manage Exchange Visitor and Participant Training data. The recipient must also use the USAID Visa Compliance System – VCS (see <http://trainethelp.usaid.gov/>) to transfer required data for USAID Exchange Visitors to the Department of Homeland Security's Student and Exchange Visitor Information System (SEVIS).

(2) For all third-country activities, and for host-country activities of two consecutive days or 16 contact hours or more in duration, the recipient must use USAID's official Exchange Visitor and Participant Training information system, currently called "Training Results and Information Network – TraiNet" (see <http://trainethelp.usaid.gov/>), to report and manage Participant Training data.

c. Health and Accident Insurance:

(1) For Exchange Visitors traveling to the United States, the recipient must enroll Exchange Visitors in health and accident insurance coverage that meets or exceeds Department of State and USAID minimum coverage requirements as set forth in 22 CFR 62.14 and ADS 253.3.6.2. The requirements may be obtained from the Agreement Officer's Representative.

(2) For Participants traveling to a third country, the recipient must obtain health and accident insurance coverage for all Participants.

(3) For Participants traveling within the host country, the recipient must determine whether specific in-country participant training activities subject them to any risk of health and accident liability for medical costs. Participants may incur, and if so, take appropriate steps according to the local situation, including obtaining health and accident insurance coverage for Participants.

d. Immigration Requirements:

(1) For Exchange Visitors traveling to the United States, the recipient must ensure that all USAID-sponsored Exchange Visitors obtain, use, and comply with the terms of the J-1 visa,

issued in conjunction with a USAID-issued Certificate of Eligibility for J-1 Visa Status (DS-2019).

(2) For Participants traveling to a third country or within the host country, the recipient must ensure that all Participants obtain, use, and comply with the terms of all applicable immigration, visa and other similar requirements.

e. **Language Proficiency:** The recipient must verify language proficiency. Exchange Visitors must possess sufficient English language proficiency to participate in a U.S.-based activity. Participants of third-country or host-country training must be proficient in the language of training at a sufficient level for participation, unless an interpreter has been arranged. Language competency can be verified through a variety of means including proficiency assessments of interviews, publications, presentations, education conducted in English, and formal testing.

f. **Pre-departure Orientation:** The recipient must conduct pre-departure orientation for U.S.-bound Exchange Visitors and Participants of third-country training programs. Pre-departure orientation covers: program objectives; administrative and policy review; cultural aspects; and training/learning methods (see http://pdf.usaid.gov/pdf_docs/PNADT444.pdf).

g. **Conditions of Sponsorship:** The recipient must ensure that all Exchange Visitors read and sign the Conditions of Sponsorship for U.S.-Based Activities form (AID 1381-6). The recipient must also ensure that all Participants of long-term (six months or longer) third-country training read and sign the form Conditions of Sponsorship for Third-Country Training form (AID 1381-7). The recipient must report to the Agreement Officer any known violations by Exchange Visitors of visa or other immigration requirements or conditions.

h. **Exchange Visitor Security Risk and Fraud Inquiry:** Each USAID Mission has an established process for conducting a Security Risk and Fraud Inquiry (SRFI) for Exchange Visitors. The recipient must be prepared to assist Missions in conducting the SRFI, if requested. However, the recipient's role is contributive, and the Mission is ultimately responsible for conducting the SRFI.

i. **Fly America:** To the extent that participants travel by international air travel, the recipient must comply with the Standard Provision, "International Air Travel and Air Transportation of Property."

j. **Use of Minority Serving Institutions:** For U.S.-based Participant Training, the recipient must, to the maximum extent possible, maintain their use of Historically Black Colleges and Universities (HBCUs) and other Minority Serving Institutions (MSIs), including Hispanic Serving Institutions and Tribal Colleges and Universities, as training or education providers.

[END OF PROVISION]

RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOV 1985)

a. Except as modified by the schedule of this grant, title to all equipment, materials and supplies, the cost of which is reimbursable to the recipient by USAID or by the cooperating country, must at all times be in the name of the cooperating country or such public or private agency as the cooperating country may designate, unless title to specified types or classes of equipment is reserved to USAID under provisions set forth in the schedule of this award. All such property must be under the custody and control of recipient until the owner of title directs otherwise or completion of work under this award or its termination, at which time custody and control must be turned over to the owner of title or disposed of in accordance with its instructions. All performance guarantees and warranties obtained from suppliers must be taken in the name of the title owner.

b. The recipient must maintain and administer in accordance with sound business practice a program for the maintenance, repair, protection, and preservation of Government property so as to assure its full availability and usefulness for the performance of this grant. The recipient must take all reasonable steps to comply with all appropriate directions or instructions which the Agreement Officer may prescribe as reasonably necessary for the protection of the Government property.

c. The recipient must prepare and establish a program, to be approved by the appropriate USAID Mission, for the receipt, use, maintenance, protection, custody and care of equipment, materials and supplies for which it has custodial responsibility, including the establishment of reasonable controls to enforce such program. The recipient must be guided by the following requirements:

(1) Property Control: The property control system must include but not be limited to the following:

(i) Identification of each item of cooperating country property acquired or furnished under the award by a serially controlled identification number and by description of item. Each item must be clearly marked "Property of (insert name of cooperating country)."

(ii) The price of each item of property acquired or furnished under this award.

(iii) The location of each item of property acquired or furnished under this award.

(iv) A record of any usable components which are permanently removed from items of cooperating country property as a result of modification or otherwise.

(v) A record of disposition of each item acquired or furnished under the award.

(vi) Date of order and receipt of any item acquired or furnished under the award.

(vii) The official property control records must be kept in such condition that at any stage of completion of the work under this award, the status of property acquired or furnished under this award may be readily ascertained. A report of current status of all items of property acquired or furnished under the award must be submitted yearly concurrently with the annual report.

(2) Maintenance Program: The recipient's maintenance program must be consistent with sound business practice, the terms of the award, and provide for:

(i) Disclosure of need for and the performance of preventive maintenance,

(ii) Disclosure and reporting of need for capital type rehabilitation, and

(iii) Recording of work accomplished under the program:

(A) Preventive maintenance - Preventive maintenance is maintenance generally performed on a regularly scheduled basis to prevent the occurrence of defects and to detect and correct minor defects before they result in serious consequences.

(B) Records of maintenance - The recipient's maintenance program must provide for records sufficient to disclose the maintenance actions performed and deficiencies discovered as a result of inspections.

(C) A report of status of maintenance of cooperating country property must be submitted annually concurrently with the annual report.

d. Risk of Loss:

(1) The recipient is not liable for any loss of or damage to the cooperating country property, or for expenses incidental to such loss or damage except that the recipient is responsible for any such loss or damage (including expenses incidental thereto):

(i) Which results from willful misconduct or lack of good faith on the part of any of the recipient's directors or officers, or on the part of any of its managers, superintendents, or other equivalent representatives, who have supervision or direction of all or substantially all of the recipient's business, or all or substantially all of the recipient's operation at any one plant, laboratory, or separate location in which this award is being performed;

(ii) Which results from a failure on the part of the recipient, due to the willful misconduct or lack of good faith on the part of any of its directors, officers, or other representatives mentioned in (i) above:

(A) To maintain and administer, in accordance with sound business practice, the program for maintenance, repair, protection, and preservation of cooperating country property as required by (i) above; or

(B) To take all reasonable steps to comply with any appropriate written directions of the Agreement Officer under b. above;

(iii) For which the recipient is otherwise responsible under the express terms designated in the schedule of this award;

(iv) Which results from a risk expressly required to be insured under some other provision of this award, but only to the extent of the insurance so required to be procured and maintained, or to the extent of insurance actually procured and maintained, whichever is greater; or

(v) Which results from a risk which is in fact covered by insurance or for which the grantee is otherwise reimbursed, but only to the extent of such insurance or reimbursement;

(vi) Provided, that, if more than one of the above exceptions is applicable in any case, the recipient's liability under any one exception is not limited by any other exception.

(2) The recipient must not be reimbursed for, and must not include as an item of overhead, the cost of insurance, or any provision for a reserve, covering the risk of loss of or damage to the cooperating country property, except to the extent that USAID may have required the recipient to carry such insurance under any other provision of this award.

(3) Upon the happening of loss or destruction of or damage to the cooperating country property, the recipient must notify the Agreement Officer thereof, must take all reasonable steps to protect the cooperating country property from further damage, separate the damaged and undamaged cooperating country property, put all the cooperating country property in the best possible order, and furnish to the Agreement Officer a statement of:

(i) The lost, destroyed, or damaged cooperating country property;

(ii) The time and origin of the loss, destruction, or damage;

(iii) All known interests in commingled property of which the cooperating country property is a part; and

(iv) The insurance, if any, covering any part of or interest in such commingled property.

(4) The recipient must make repairs and renovations of the damaged cooperating country property or take such other action as the Agreement Officer directs.

(5) In the event the recipient is indemnified, reimbursed, or otherwise compensated for any loss or destruction of or damage to the cooperating country property, it must use the proceeds to repair, renovate or replace the cooperating country property involved, or must credit such proceeds against the cost of the work covered by the award, or must otherwise reimburse USAID, as directed by the Agreement Officer. The recipient must do nothing to prejudice USAID's right to recover against third parties for any such loss, destruction, or damage, and upon the request of the Agreement Officer, must, at the Government's expense, furnish to USAID all reasonable assistance and cooperation (including assistance in the prosecution of suits and the execution of instruments or assignments in favor of the Government) in obtaining recovery.

e. Access: USAID, and any persons designated by it, must at all reasonable times have access to the premises wherein any cooperating country property is located, for the purpose of inspecting the cooperating country property.

f. Final Accounting and Disposition of Cooperating Country Property: Within 90 days after completion of this award, or at such other date as may be fixed by the Agreement Officer, the recipient must submit to the Agreement Officer an inventory schedule covering all items of equipment, materials and supplies under the recipient's custody, title to which is in the cooperating country or public or private agency designated by the cooperating country, which have not been consumed in the performance of this award. The recipient must also indicate what disposition has been made of such property.

g. Communications: All communications issued pursuant to this provision must be in writing.

[END OF PROVISION]

RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)

- a. If at the end of any funding period, the recipient has expended an amount of non-Federal funds less than the agreed upon amount or percentage of total expenditures, the Agreement Officer may apply the difference to reduce the amount of USAID incremental funding in the following funding period. If the award has expired or has been terminated, the Agreement Officer may require the recipient to refund the difference to USAID.
- b. The source and nationality requirements and the restricted goods provision established in the Standard Provision entitled "USAID Eligibility Rules for Goods and Services" do not apply to cost sharing (matching) expenditures.

[END OF PROVISION]

RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)

- a. USAID reserves the right to terminate assistance to, or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR 140.

b.

(1) For any loan over \$1,000 made under this agreement, the recipient must insert a clause in the loan agreement stating that the loan is subject to immediate cancellation, acceleration, recall, or refund by the recipient if the borrower or a key individual of a borrower is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR 140.

(2) Upon notice by USAID of a determination under section (1) and at USAID's option, the recipient agrees to immediately cancel, accelerate, or recall the loan, including refund in full of the outstanding balance. USAID reserves the right to have the loan refund returned to USAID.

c.

(1) The recipient agrees not to disburse, or sign documents committing the recipient to disburse, funds to a subrecipient designated by USAID ("Designated Subrecipient") until advised by USAID that: (i) any United States Government review of the Designated Subrecipient and its key individuals has been completed; (ii) any related certifications have been obtained; and (iii) the assistance to the Designated Subrecipient has been approved. Designation means that the subrecipient has been unilaterally selected by USAID as the subrecipient. USAID approval of a subrecipient, selected by another party, or joint selection by USAID and another party is not designation.

(2) The recipient must insert the following clause, or its substance, in its agreement with the Designated Subrecipient:

"The recipient reserves the right to terminate this [Agreement/Contract] or take other appropriate measures if the [Subrecipient] or a key individual of the [Subrecipient] is found to have been convicted of a narcotic offense or to have been engaged in drug trafficking as defined in 22 CFR 140."

[END OF PROVISION]

RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)

- a. Except as specifically set forth in this award or otherwise authorized by USAID in writing, no funds or other support provided hereunder may be used for any activity that involves investment promotion in a foreign country.
- b. In the event the recipient is requested or wishes to provide assistance in the above area or requires clarification from USAID as to whether the activity would be consistent with the limitation set forth above, the recipient must notify the Agreement Officer and provide a detailed description of the proposed activity. The recipient must not proceed with the activity until advised by USAID that it may do so.
- c. The recipient must ensure that its employees and subrecipients and contractors providing investment promotion services hereunder are made aware of the restrictions set forth in this clause and must include this clause in all contracts and other subagreements entered into hereunder.

[END OF PROVISION]

RAA12. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)

- a. By April 16 of each year, the recipient must submit a report containing:

- (1) Contractor/recipient name.

- (2) Contact name with phone, fax and e-mail.

- (3) Agreement number(s).

- (4) The total amount of value-added taxes and customs duties (but not sales taxes) assessed by the host government (or any entity thereof) on purchases in excess of \$500 per transaction of supplies, materials, goods or equipment, during the 12 months ending on the preceding September 30, using funds provided under this contract/agreement.

- (5) Any reimbursements received by April 1 of the current year on value-added taxes and customs duties reported in (iv).

- (6) Reports are required even if the recipient did not pay any taxes or receive any reimbursements during the reporting period.

- (7) Cumulative reports may be provided if the recipient is implementing more than one program in a foreign country.

- b. Submit the reports to: [insert address and point of contact at the Embassy, Mission, or M/CFO/CMP as appropriate, may include an optional "with a copy to"].

- c. Host government taxes are not allowable where the Agreement Officer provides the necessary means to the recipient to obtain an exemption or refund of such taxes, and the recipient fails to take reasonable steps to obtain such exemption or refund. Otherwise, taxes are allowable in accordance with the Standard Provision, "Allowable Costs," and must be reported as required in this provision.

- d. The recipient must include this reporting requirement in all applicable subagreements, including subawards and contracts.

[END OF PROVISION]

RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)

a. U.S. Government funds under this award must not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a multilateral organization, as defined below, unless approved by the Agreement Officer in writing.

b. Definitions:

(1) A foreign government delegation is appointed by the national government (including ministries and agencies but excluding local, state and provincial entities) to act on behalf of the appointing authority at the international conference. A conference participant is a delegate for the purposes of this provision, only when there is an appointment or designation that the individual is authorized to officially represent the government or agency. A delegate may be a private citizen.

(2) An international conference is a meeting where there is an agenda, an organizational structure, and delegations from countries other than the conference location, in which country delegations participate through discussion, votes, etc.

(3) A multilateral organization is an organization established by international agreement and whose governing body is composed principally of foreign governments or other multilateral organizations.

[END OF PROVISION]

RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following Web site:

pdf.usaid.gov/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

[END OF PROVISION]

RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)

By accepting this award, the recipient hereby states that it does not promote, support, or advocate the legalization or practice of prostitution. This statement may be true by virtue of the organization's lack of any policy regarding the issue.

[END OF PROVISION]

RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)

The recipient must not provide funds made available to carry out this award to any organization that has not stated in either a grant application, a grant agreement, or both, that it does not promote, support, or advocate the legalization or practice of prostitution. Such a statement is not required, however, if the sub-recipient organization provides services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked. If required, the sub-recipient organization's statement may be true by virtue of the organization's lack of any policy regarding the issue.

[END OF PROVISION]

RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)

None of the funds made available under this award may be used to promote, support, or advocate the legalization or practice of prostitution. However, this prohibition does not preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted in such victims being trafficked. The recipient must insert this provision in all subagreements under this award.

[END OF PROVISION]

RAA22. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCT 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently, if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

- (1) Must notify potential subrecipients that no entity (see definition in paragraph c. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
- (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at www.ccr.gov).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at fedgov.dnb.com/webform).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart C:

(i) A governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

ADDENDUM (JUNE 2012):

a. Exceptions. The requirements of this provision to obtain a Data Universal Numbering System (DUNS) number and maintain a current registration in the Central Contractor Registration (CCR) do not apply, at the prime award or subaward level, to:

(1) Awards to individuals

(2) Awards less than \$25,000 to foreign recipients to be performed outside the United States (based on a USAID determination)

(3) Awards where the Agreement Officer determines, in writing, that these requirements would cause personal safety concerns.

b. This provision does not need to be included in subawards.

[END OF PROVISION]

RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.(1) of this award term to www.fsrs.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) The total Federal funding authorized to date under this award is \$25,000 or more;

(ii) In the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at www.bpn.gov/ccr.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you must report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

(i) In the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (for example, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions.

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- (1) Subawards, and
- (2) The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions.

For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR 25:

- (i) A governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization; and
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

(iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(4) Subrecipient means an entity that:

- (i) Receives a subaward from you (the recipient) under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- (i) Salary and bonus.
- (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- (iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v) Above-market earnings on deferred compensation which is not tax-qualified.
- (vi) Other compensation, if the aggregate value of all such other compensation (for example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

RAA24. PATENT REPORTING PROCEDURES (JULY 2012)

As incorporated by 22 CFR 226.36 and the standard provision “APPLICABILITY OF 22 CFR PART 226,” the clause at 37 CFR 401.14 (“Patent Rights (Small Business Firms and Nonprofit Organizations)”) is incorporated by reference into this award as if set forth in full text. The recipient must use the National Institutes of Health EDISON Patent Reporting and Tracking system (<http://www.iedison.gov>) to fulfill its disclosure obligations under 37 CFR 401.14(c)(1). The recipient must also submit reports on utilization of subject inventions annually to the Agreement Officer’s Representative under 37 CFR 401.14(h), and the last report must be provided within 90 days of the expiration of the agreement.

[END OF PROVISION]

RAA25. ACCESS TO USAID FACILITIES AND USAID’S INFORMATION SYSTEMS (AUG 2013)

a. A U.S. citizen or resident alien engaged in the performance of this award as an employee, consultant, or volunteer of a U.S organization may obtain access to USAID facilities or logical access to USAID’s information systems only when and to the extent necessary to carry out this award and in accordance with this provision. The recipient’s employees, consultants, or volunteers who are not

U.S. citizen as well as employees, consultants, or volunteers of non-U.S. organizations, irrespective of their citizenship, will not be granted logical access to U.S. Government information technology systems (such as Phoenix, GLAAS, etc.) and must be escorted to use U.S. Government facilities (such as office space).

b. Before a U.S. citizen or resident alien engaged in the performance of this award as an employee, consultant, or volunteer of the recipient, subrecipient or contractor at any tier may obtain a USAID ID (new or replacement) authorizing the individual routine access to USAID

facilities in the United States, or logical access to USAID's information systems, the individual must provide two forms of identity source documents in original form. One identity source document must be a valid Federal or State government-issued picture ID. The recipient must contact the USAID Office of Security to obtain the list of acceptable forms of documentation. Submission of these documents, and related background checks, are mandatory in order for the individual to receive a building access ID, and before access will be granted to any of USAID's information systems. All such individuals must physically present these two source documents for identity proofing at their Security Briefing. All individuals provided access under this provision must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual's employment with the recipient or completion of the award, whichever occurs first.

c. Individuals engaged in the performance of this award as an employee, consultant, or volunteer of the recipient must comply with all applicable Homeland Security Policy Directive-12 (HSPD-12) and Personal Identity Verification (PIV) procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any HSPD-12 procedures established by the Office of Security in USAID/Washington.

d. The recipient is required to include this provision in all subagreements, including subawards and contracts, at any tier made to a U.S. organization/company, that require employees or consultants engaged in the performance of this award to have routine physical access to USAID facilities or logical access to USAID's information systems in order to perform this award.

[END OF PROVISION]

[END OF THE REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS]

ATTACHMENT D - BRANDING AND MARKING

This Agreement incorporates the following Branding and Marking as set forth in ADS Chapter 320.

Branding Strategy and Marking plan under USAID-Funded Assistance Instrument, is requirement of the USAID; the recipient's Branding and Marking plan should be submitted and will be approved within 45 days after the award.

Branding and Marking Requirements for Assistance Awards

Effective Date: 01/08/2007

USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.” In accordance with 22 CFR 226.91, this policy applies to these assistance awards even when the award does not require any cost sharing (see [ADS 303.3.10](#)).

320.3.3.1 Co-branding and Co-marking

Effective Date: 01/08/2007

Co-branding and co-marking mean that the program name represents both USAID and the implementing partner and the USAID Identity and implementer's logo must both be visible with equal size and prominence on program materials produced for program purposes. Such program materials include the assistance set forth at [22 CFR 226.91 \(b\) – \(e\)](#). Program materials do not include commodities the recipient or sub-recipient procures for their own use in administering the USAID-funded program (in accordance with the definition of “commodities” in [22 CFR 226.2](#)). In short, co-funding means co-branding and co-marking.

However, the AO, after consulting with the activity manager/requesting office, may determine that program goals require that the USAID Identity be larger and more prominent, if USAID is the majority donor and the USAID funded program, project, activity or public communication is especially visible and important to USAID.

A host-country symbol or ministry logo or other U.S. Government seal or logo may also be added, if applicable.

Marking is not required for recipient's offices, vehicles, and items the recipient procures for its own administrative use (see [22 CFR Part 226.91](#) and **320.3.5**). The prohibitions on use of the USAID Standard Graphic Identity (see **320.3.1.5** and **320.3.1.6**) apply by USAID policy to recipients of grants and cooperative agreements.

320.3.3.2 Branding and Marking Requirements for Specific Grant, Cooperative Agreement, or Other Assistance Awards

Effective Date: 01/08/2007

Marking requirements, including requests for presumptive exceptions (see [22 CFR 226.91\(h\)](#)) and waivers, for assistance awards must be in accordance with [22 CFR 226.91 \(j\)](#). By policy, USAID requires non-U.S., non-governmental organizations, including cooperating country non-governmental organizations (and in rare cases, Public International Organizations, see **320.3.5**), to follow marking requirements for assistance awards as set forth in this chapter and [22 CFR 226.91](#). In addition to the presumptive exceptions in 22 CFR 226.91(h), loan programs under assistance awards may also be determined to be an exception to the USAID marking policy, in accordance with section **320.3.4.4**. For unsolicited proposals and other non-competitive awards, the applicant is considered the Apparently Successful Applicant and may submit a Branding Strategy and Marking Plan with their proposal. (See **320.3.1.4** regarding adding incremental funding to existing awards.)

AOs, activity managers and other members of the SOT/RO, and CTOs, with support from DOCs, Bureau/Office Communications Officers, and the Senior Advisor for Brand Management (LPA), are responsible for ensuring that Apparently Successful Applicants and recipients are familiar with the **USAID Partner Co-Branding Guide** and other Agency guidance.

A determination by an AO before an award is made that none of the presumptive exceptions applies is not subject to a separate appeal process, but may be handled through normal grant award or administration procedures. A determination by an AO after an award is made that a presumptive exception does not apply is subject to the appeals process at [22 CFR 226.90](#).

In accordance with [section \(j\) of 22 CFR 226.91](#), Principal Officers have the authority to approve waivers of marking requirements. Recipients may appeal the Principal Officer's determination concerning a waiver to the Principal Officer's Cognizant AA.

[END OF ATTACHMENT D]

ATTACHMENT F – USAID PARTNER INFORMATION FORM (PIF)

USAID Information Form

Part I: Information About Proposed Activities (all parts mandatory)		
1. Name of the proposed awardee of USAID contract or assistance (Firms must include a copy of applicable, currently valid licenses to do business in Afghanistan)		
2. Type of proposed award or other assistance (check one): <input type="checkbox"/> Contract or Subcontract <input type="checkbox"/> Grant or Subgrant <input type="checkbox"/> Training <input type="checkbox"/> Equipment <input type="checkbox"/> Other		
3. US\$ amount and estimated start/end date of proposed award or assistance: Dollar amount: \$ Start: End:		
4. Purpose of proposed award or assistance:		
5. Organization proposed to receive award or other assistance:		
a. Name:		
b. Address (include village/town/city, state/county/province, and country):		
c. Telephone:	d. Fax:	e. Email:
6. Information on Key Individuals associated with the organization named in 5 above who are <u>not</u> U.S. citizens or permanent legal residents, or, if no organization is listed, information on each individual to receive cash or in-kind assistance (including technical assistance). Use continuation sheets as necessary. ** = mandatory information.		
A. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth** village/town/city: state/county/province: country:	Date of birth:** (Example: 3 May, 1979)	Title in organization (Example: President/Vice President/CFO):
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:		Occupation:
Address of residence** village/town/city: state/county/province: country:		Citizenship(s):** (Afghans: Tribal Affiliations, Father's Name and Grandfather's Name)
Email: Phone:		Is the individual a U.S. citizen or legal permanent resident?** Yes <input type="checkbox"/> No <input type="checkbox"/>
Part II: Contractor/Grantee/Recipient Certification: (to be completed by Prime Awardee chief of party, program director or their designee)		
Potential Awardee certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor/Grantee/Recipient understands that the U.S. Government may rely on the accuracy of such information in processing this vetting request.		

Name:	Signature:	
Title/Organization:		Date:
Part III: Submission details (to be completed by USG vetting official)		
Vetting request number		
Staff member who initiated request		
Project name		
Date submitted for screening		

USAID Information Form Continuation Sheet for Part I, Section 6: List of Individuals
(Use additional continuation sheets as necessary):

B. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth** village/town/city: state/county/province: country:	Date of birth:** (Example: 3 May, 1979)	Title in organization (Example: President/Vice President/CFO):
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:		Occupation:
Address of residence** village/town/city: state/county/province: country:		Citizenship(s):** (Afghans: Tribal Affiliations, Father's Name and Grandfather's Name)
Email: Phone:		Is the individual a U.S. citizen or legal permanent resident? ** Yes <input type="checkbox"/> No <input type="checkbox"/>
C. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth** village/town/city: state/county/province: country:	Date of birth:** (Example: 3 May, 1979)	Title in organization (Example: President/Vice President/CFO):
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:		Occupation:
Address of residence** village/town/city: state/county/province: country:		Citizenship(s):** (Afghans: Tribal Affiliations, Father's Name and Grandfather's Name)
Email: Phone:		Is the individual a U.S. citizen or legal permanent resident? ** Yes <input type="checkbox"/> No <input type="checkbox"/>
D. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth** village/town/city: state/county/province: country:	Date of birth:** (Example: 3 May, 1979)	Title in organization (Example: President/Vice President/CFO):
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:		Occupation:

Address of residence** village/town/city: state/county/province: country:	Citizenship(s)** (Afghans: Tribal Affiliations, Father's Name and Grandfather's Name)
Email: Phone:	Is the individual a U.S. citizen or legal permanent resident?** Yes <input type="checkbox"/> No <input type="checkbox"/>

INFORMATION FORM INSTRUCTIONS

Please provide information for key individuals of all organizations receiving funds from USAID, including grantees, sub-grantees, contractors, and vendors, who work in Afghanistan.

Part I

Question 1 – Self-explanatory

Question 2- Indicate the proposed type of mechanism to be utilized by placing a check mark on the line in front of the appropriate term

Question 3 – Enter the amount of award or assistance (or sub-award) in U.S. dollars and indicate the start and end date of the award (or sub-award) using a mm/dd/yyyy format

Question 4 – Indicate the purpose of the award or assistance. Use additional sheets and attach to page one of the vetting form if necessary

Question 5 a-i – Self-explanatory.

Attach a copy of the relevant, currently valid Afghan business license.

Question 6 - A “Key Individual” means (i) Any person who exercises effective control of the organization; (ii) a principal officer of the organization's governing body (e.g., chairman, vice chairman, treasurer or secretary of the board of directors or board of trustees); (iii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director president or vice president); (iv) the program manager or chief of party for the USAID-financed program; (v) any person receiving significant commissions (defined as a sum, either fixed or a set percentage of the value involved, paid to an agent or person acting in a similar role in the activity involved) or similar earnings from the Award in an amount exceeding \$25,000; and (vi) any other person with significant responsibilities for administration of USAID-financed activities or resources (while a comprehensive list is not possible, this would include any person acting in a role substantially similar to those outlined in (i)-(v). For Private Security Services, this would include leadership roles down to the level of field commanders). Complete for each of these six categories or indicate “N/A” if a category does not apply. Use additional pages as needed. Only Key Individuals who are not U.S. citizens or permanent legal residents need to be submitted. Attach copies of photo ID for each non-U.S. “Key Individual”. In addition, for all non-U.S. Key Individuals in possession of passports, passport copies must be attached.

Note: If a “Key Individual” is a U.S. citizen or permanent legal resident, proof of citizenship or residency must be attached.

Part II

The representative of the prime Awardee (chief of party, program director or their designee) must fill out the form, read the certification and print their name where indicated, sign where indicated, print their title and the name of their organization where indicated, and print the date where indicated.

Part III

This section will be completed by the USG vetting official.

MODIFICATION OF ASSISTANCE

Page 1 of 2

1. MODIFICATION NUMBER 02	2. EFFECTIVE DATE OF MODIFICATION See block 15	3. AWARD NUMBER: AID-306-A-13-00009	4. EFFECTIVE DATE OF AWARD: 01-01-2014
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5. GRANTEE: Family Health International (FHI 360) 359 Blackwell Street Durham, NC 27701 DUNS NO.: 067180786 TIN NO. : 23-7413005 LOC NO.: HHS-63A2P	6. ADMINISTERED BY: USAID/ Afghanistan Office of Acquisition and Assistance 6180 Kabul Place Dulles, VA 20189-6180
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7. FISCAL DATA: Amount Obligated: Budget Fiscal Year: Operating Unit: Strategic Objective: Team/Division: Benefiting Geo Area: Object Class:	8. TECHNICAL OFFICE: USAID/AFGHANISTAN/OSSD 9. PAYMENT OFFICE: US Agency for International Development M/FM/CMP-LOC UNIT, Room 424,SA44 1300 Pennsylvania Avenue Washington, DC 20523 Email:loc@usaid.gov
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10. FUNDING SUMMARY:	Obligated Amount	Total Est. Amt.
Amount Prior to this Modification:	\$17,528,953.00	\$91,927,769.42
Change Made by this Modification:	\$ 0.00	\$ 0.00
New/Current Total:	\$17,528,953.00	\$91,927,769.42

11. DESCRIPTION OF MODIFICATION:

The purpose of this modification is to correct the typo in the basic award as mentioned in the next page.

"Except as herein modified all other terms and conditions of the referenced Cooperative Agreement will remain unchanged and with full force and effect."
[End of Modification # 02]

12. THIS MODIFICATION IS ENTERED INTO PURSUANT TO THE AUTHORITY OF THE FOREIGN ASSISTANCE ACT OF 1961 AS AMENDED. EXCEPT AS SPECIFICALLY HEREIN AMENDED, ALL TERMS AND CONDITIONS OF THE GRANT REFERENCED IN BLOCK #3 ABOVE, AS IT MAY HAVE HERETOFORE BEEN AMENDED, REMAIN UNCHANGED AND IN FULL FORCE AND EFFECT.

13. GRANTEE: IS IS NOT REQUIRED TO SIGN THIS DOCUMENT TO RECONFIRM ITS AGREEMENT WITH THE CHANGES EFFECTED HEREIN

14. GRANTEE:


(Name Typed or Printed)
TITLE: Ahmed Martinez, Contracting Officer
Contract Management Services
DATE: Feb 18, 2014

15. THE UNITED STATES OF AMERICA
U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
BY: 

(Name Typed or Printed)
TITLE: Agreement Officer
DATE: 02/23/2014

MODIFICATION OF ASSISTANCE
CONTINUATION PAGE

PAGE NO
Page 2 of 2

ASSISTANCENO
AID-306-A-13-00009

MODIFICATION NO
02

11. DESCRIPTION OF MODIFICATION (CONTINUED)

The purpose of this modification is to correct the typo in the basic award as follow:

Therefore, this cooperative agreement with Family Health International (FHI 360) is hereby modified as follow:

1. Under A.17.7 SPECIAL PROVISION FOR PERFORMANCE IN AFGHANISTAN, Page 18, delete the previous link, and replace it with <https://spot.dmdc.mil/privacy.aspx>.
2. Under A.17.11 VETTING, 4-14.001 (a), Page 21, delete appendix B, and replace it with Attachment F USAID Partner Information Form.
(Ref Page 21: (a) The recipient must complete and submit the "USAID Information Form" in Attachment F).
3. Under A.17.13 ENVIRONMENTAL COMPLIANCE, Page 28, fourth paragraph, on the second line, delete attachment D, and replace it with Attachment E Initial Environmental Examination.
(Ref Page 28: An Initial Environmental Examination (IEE) number OAPA-13-MAR-AFG-0222 included under (Attachment E) has been approved for program funding this Cooperative Agreement. The IEE covers activities expected to be implemented under this Cooperative Agreement).
4. Under C. PLANNED ACTIVITIES, TASKS, OUTPUTS AND OUTCOMES, Page 34, second line, delete Annex E, and replace it with Attachment A.
(Ref Page 34: This section describes the specific approaches, activities, and tasks that will be undertaken by the FHI 360 team, and identifies the outputs and outcomes that will result (See Attachment A. for the Life of Program Workplan)).
5. Under PROGRAM MONITORING AND DATA QUALITY ASSURANCE, page 51, second paragraph, on the first line, delete "During the first six months of the project..." and replace it with "During the first 90 days of the project, USAID Afghanistan University Support and Workforce Development Program will submit, in close consultation with USAID, a comprehensive Performance Monitoring Plan (PMP)."
6. Under RAA12. REPORTING HOST GOVERNMENT TAXES (JUNE 2012), Page 79, subparagraph b, on the first line, , insert point of contact, (US Agency for International Development, M/FM/CMP-LOC Unit, Room 424, SA44, 1300 Pennsylvania Avenue, Washington, DC 20523, [Email: loc@usaid.gov](mailto:loc@usaid.gov)).
(Ref Page 79 subparagraph b, on the first line: [insert address and point of contact at the Embassy, Mission, or M/CFO/CMP as appropriate]).
7. Under ATTACHMENT E - INITIAL ENVIRONMENTAL EXAMINATION (IEE), Page 90 to Page 95, delete basic award from Page 90 to Page 95, and replace it with the amended IEE (See Attached IEE).

Basic Award Attachments:

- A. Schedule
- B. Program Description
- C. Standard Provisions
- D. Branding and Marking
- E. Initial Environmental Examination (IEE)
- F. USAID Partner Information Form (PIF)

"Except as herein modified all other terms and conditions of the referenced Cooperative Agreement will remain unchanged and with full force and effect."

[End of Modification # 02]



USAID | AFGHANISTAN

FROM THE AMERICAN PEOPLE

Office of Afghanistan & Pakistan Affairs (OAPA)

INITIAL ENVIRONMENTAL EXAMINATION Amendment 1

PROGRAM/ACTIVITY DATA

Country Code: 306
Program Area: Higher Education
Country or Region: Afghanistan
Activity Name: Afghanistan University Support & Workforce Development Program (AUS-WFD)
Funding Period: 01/01/2014 – 12/31/18
Amount: \$91.9 million
Amendment Prepared by: [REDACTED]
Date: January 10, 2014
Amended IEE: Yes, original IEE: OAPA-13-MAR-AFG-0029 (STEP-UP), approved 3/25/2013

ENVIRONMENTAL ACTION RECOMMENDED: (Place X where applicable)

Categorical Exclusion	<input checked="" type="checkbox"/>	Deferral	<input type="checkbox"/>
Positive Determination	<input type="checkbox"/>	Negative Determination	<input type="checkbox"/>
Negative Determination With Conditions	<input checked="" type="checkbox"/>	Exemption	<input type="checkbox"/>

1. Purpose and Proposed Interventions

1.1 Purpose

The purpose of this Amendment to the original IEE (OAPA-13-MAR-AFG-0029), approved on 3/25/2014, is to:

1. Document a name change for the IEE for the Strengthening Tertiary Education Project-University Partnerships (STEP-UP) project which has been renamed recently, after the PAD approval, as the Afghanistan University Support & Workforce Development Program (AUS-WfD) project.
2. Change the project start and end dates from 9/1/2013 – 8/31/2018 to 01/01/2014 – 12/31/2018.
3. Decrease the LOP funding from \$132.7 million to \$91.9 million.
4. Add the requirement of environmental review of sub-activities under the Grants program and provide an updated table of recommended threshold decisions, and add mitigation measures for sanitation and potable water (should refurbishment activities deal with these provisions).

There are no other changes. All stipulations and recommendations made the original IEE for STEP UP remain in effect except where modified in this Amendment.

1.2 Proposed Interventions

The AUS-WFD program has two components: one to build the capacity of the MOHE and the second to provide material and/or technical support to up to ten public. The activities include:

Component 1: Provide technical assistance and training to the MOHE.

1. Facilitate capacity building in the MOHE and universities to create more effective governance, management and financial control systems, including monitoring and evaluation;
2. Assist the MOHE and universities to implement quality assurance and accreditation guidelines, and curriculum standards for public universities;

Component 2: Provide technical assistance and material support to selected universities

1. Develop and pilot market-driven technical and professional associate degree programs designed in partnership with American and regional universities, the private and public sectors, and with consideration to women's access to professional employment;
2. Small grants for equipment and refurbishments that support these programs;
3. Create university Career and Partnership Centers linked to the public and private sector, providing services such as internships, job search skills as well as employment placements.

Only one of the proposed AUS-WFD activities is expected to cause environmental impacts. Small grants to the universities under the second component could have some slight impact caused by minor refurbishment of university libraries and/or laboratories before installing academic or scientific equipment such as computers or laboratory apparatus.

2.0 Recommended Threshold Decisions and Mitigation Actions

Categorical Exclusions [94.5% of the project budget (\$86.9m)]:

Per 22 CFR 216.2 (c)(2)(i) and (iii), we recommend categorical exclusions for the following activities as they are not expected to have adverse environmental impact on the natural or physical environment of Afghanistan (Table 1 below).

- Component 1: technical assistance to the MOHE
- Component 2: technical assistance to the selected public universities

Negative Determinations with Conditions [up to 5.5% of the project budget (\$5m)]:

For small repairs and refurbishments of classrooms and laboratories, the implementer of the AUS-WFD project shall submit to the Mission Environmental Officer (MEO) for review an Environmental Review Form (ERF) and, if warranted, an Environmental Review Report (ERR), that describes the type of refurbishments, material to be used and refurbishment

practices to be followed, such as the USAID Sector Environmental Guidelines for Small-Scale Construction. See Annex 1 for a template for the ERF/ERR. Implementer will provide through regular progress reports that best practices have been adhered to.

For equipment procurement, the implementer shall provide evidence that equipment and materials procured will be used in a safe way and that the implementer shall follow all national and provincial environmental laws and regulations, and that after the equipment has completed its useful life, it shall be either returned to the supplier for safe and sound disposal, or disposed of by Government of Afghanistan agencies and/or by the implementer in accordance with relevant legislation and/or USAID rules and regulations.

Table 1. Proposed program activities and recommended threshold decisions

Component	Activities	Potential Impacts	22 CFR 216 Environmental Determination
<u>Component 1</u> Provide technical assistance and training to the MOHE	Technical assistance to MOHE Workshops and Meetings	None None	<u>§216.2(c)(2)(i)</u> : Education, technical assistance, or training programs: No mitigation required <u>§216.2(c)(2)(iii)</u> : Analyses, studies, academic or research workshops and meetings: No mitigation required
<u>Component 2</u> Provide technical assistance to selected universities	Technical assistance to the selected public universities	None	<u>§216.2(c)(2)(i)</u> : Education, technical assistance, or training programs: No mitigation required <u>§216.2(c)(2)(iii)</u> : Analyses, studies, academic or research workshops and meetings: No mitigation required
<u>Component 2</u> Small grants for equipment to support programs	Minor refurbishing of libraries, laboratories or classrooms and purchase of equipment such as computers, learning materials and laboratory apparatus NOTE: No new construction will take place	Limited impact if conditions are adhered to	Negative Determination with Conditions: <u>Equipment</u> : Implementer shall provide evidence that equipment and materials procured will be used in a safe way and that the implementer shall follow all national and provincial environmental laws and regulations, and that after the equipment has completed its useful life, it shall be either returned to the supplier for safe and sound disposal, or disposed of by Government of

Component	Activities	Potential Impacts	22 CFR 216 Environmental Determination
			<p>Afghanistan agencies and/or by the implementer in accordance with relevant legislation and/or USAID rules and regulations.</p> <p><u>Refurbishments:</u> The implementing partner shall submit an ERF/ERR for review by the MEO (Annex 1). Multiple refurbishment activities can be combined in a single ERF/ERR. Best practices shall be followed, e.g. USAID Sector Guidelines: Small-Scale Construction, available at http://www.usaidgems.org/Sectors/construction.htm</p> <p><u>Sanitation and potable water:</u> if refurbishment will include provision or improvement of sanitation and/or potable water, the implementer shall adhere to best practices and applicable international and national standards, incl. testing for arsenic and coliform bacteria, as provided for instance in USAID Sector Guidelines: Water and Sanitation, available at http://www.usaidgems.org/sectorGuidelines.htm</p> <p>Procurement or use of Asbestos and Lead Containing Materials (ALCM) (e.g., piping, roofing), Polychlorinated Biphenyl's (PCB) or other hazardous materials is prohibited by US EPA as provided at: http://www.epa.gov/asbestos and/or under international environmental agreements and conventions, e.g. Stockholm Convention on Persistent Organic Pollutants as provided at: http://chm.pops.int</p>