Issuance Date: **October 24, 2012**
Closing date for Submission Questions: **November 09, 2012, 1430 (PST)**
Closing Date and Time for Application Submission: **December 12, 2012, 1430 (PST)**

Subject: Request for Application (RFA) No: RFA-391-13-000002
Center for Advance Studies (CAS)

The United States Agency for International Development mission to Pakistan (USAID/Pakistan) seeks applications from Universities and University Associations/Consortia of Universities for the Centers of Advance Studies (CAS) project. The estimated overall amount of this activity is USD$90-100 million over a five year life of project.

For the purposes of this Request for Application (RFA), the term "Award" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient". The authority for the Request for Application is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (22 CFR 226, and OMB Circular A-21 for universities, may be paid under the agreement.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

Section I. Program Description;
Section II Eligibility Criteria;
Section III. Implementation Arrangements
Section IV. Application and Submission Instructions;
Section V. Evaluation Criteria;
Section VI. Award Administration and Information;
Section VII. Mandatory Standard Provisions
Section VIII. Certifications, Assurances and Other Statements of Recipients
Annex A: References.
Annex B: SF – 424: Link for Application for Federal Assistance Form.
Annex C: Template for Branding and Marking Plan
Annex D: Sample format for Initial Security Plan
Annex E: Background of Higher Education Programs in Pakistan.
Annex F: CAS Universities Contact Details

Your application must be received by December 12, 2012, NLT 14:00 PM Pakistan Standard Time (PST) via email to shumayun@usaid.gov. Hard copies of Technical applications (one (1) original and three (3) copies) and (one original (1) and two (2) copies) of cost proposal are also to be submitted in sealed envelopes with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages.

USAID reserves the right to fund any or none of the submitted applications in response to this RFA. Further, the Government reserves the right to reject application.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Award will be made subject to the availability of funds. Final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential Applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the Applicant; should circumstances prevent award of a Cooperative Agreement, all preparation and submission costs are at the applicant's expense.

Any questions concerning the contents of this RFA should be submitted in writing to Mr. Sohail Humayun at shumayun@usaid.gov at by November 09, 2012, NLT 14:30 pm. Any additional information regarding this RFA will be furnished through an amendment to this RFA.

Thank you for your interest in USAID/Pakistan programs.

Sincerely,

Dale Lewis
Agreement Officer
USAID/Pakistan

SECTION I – PROGRAM DESCRIPTION

I. Purpose

The Centers for Advanced Studies (CAS) project was designed by USAID and the Higher Education Commission of Pakistan (HEC) to support Pakistan's economic development by strengthening universities. The project will create a cadre of effective graduates for employment in the private and public sectors in agriculture, water and energy. Each CAS will form public-private partnerships and interest-specific networks by bringing together the best minds in academia, government and the business community to identify and seek applied research solutions to some of Pakistan's greatest challenges in agriculture, energy and water. The project will equip universities to provide opportunities to promising students of limited means or from disadvantaged groups to obtain higher education. The project will also improve the working relationship between universities and industry to support applied research and to increase the quality of faculty without relying entirely on public or donor financing. In an effort to systemically change teaching, research, and institutional relationships, the CAS project will provide an approach and a model to strengthen higher education that can be replicated in other sectors and at other universities.

The project will assist in: 1) revised curricula as well as financial management, governance, teaching and other reforms necessary to make university education and research more relevant to the needs of industry and government; 2) the development of relevant policy dialogue and reforms for each technical sector led by the policy think tanks in each CAS; 3) robust scholarship and exchange programs; 4) networking activities; and 5) strong links to the private sector.

The purpose of this request for application (RFA) is to obtain applications from qualified U.S. institutions or associations of higher education to facilitate project implementation and provide logistical support to the Pakistan Higher Education Commission (HEC) and the Pakistani and U.S. universities of the Centers for Advanced Studies (CAS) project under a cooperative agreement (CA) with USAID. The CAS project will be implemented under a 5-year, $100 million CA. In addition to facilitation and logistical support, the successful Applicant will also monitor activities and provide administrative and financial management, particularly of funds granted to U.S. and Pakistani universities. USAID encourages Applicants to build on and coordinate with existing initiatives and best practices.

II. Background

A center for advanced studies is defined as a state of the art, modern applied research center located in a selected Pakistani public university and widely recognized for its excellence and as a repository for both knowledge and expertise in its specialty area. A CAS is characterized by five dimensions: efficient governance and leadership; effective curriculum reform; identification, design and dissemination of the most relevant and high quality applied research that meets sector's present and future needs; international-level multidisciplinary graduate and post graduate training programs; and technical and financial sustainability of CAS's interventions through strong links with industry, civil society and government. The purpose of each CAS through its interventions is to best serve needs of the industry and government to stimulate economic growth and benefit the citizens of Pakistan.

During development of the project USAID and HEC considered not only the needs of Pakistan's universities, but also their relationship with those universities as well as the U.S. university community. Under CAS project implementation, USAID and HEC's relationship with both Pakistani and U.S. universities will be direct. The successful Applicant for this CA will serve as a facilitator to that relationship, as well as logistician for project implementation, providing technical assistance to HEC and the Pakistani universities as necessary. In addition, USAID and HEC have placed an emphasis on science, technology, innovation and commercialization to improve the efficacy of development. USAID's agency-wide effort embodies these same principles; in addition, the Agency is encouraging its partners to help develop and use similar practices to strengthen our assistance programs. USAID Washington recently solicited applications to create the Higher Education Solutions Network (HESN) for this purpose. There is a potentially powerful nexus between the CAS project and the Agency's direction toward stronger and more productive university relationships. How this nexus can be used for the mutual benefit of both activities is discussed below.

Please see Annex "E" for additional information on the background of higher education programs in Pakistan.

III. Scope of Work

III.1.Program Goal

The overall goal is to substantially improve higher education's ability to find innovative solutions to some of Pakistan's greatest development challenges through applied research; graduates who are better prepared to meet the needs of industry, government and their communities; and leadership in policy dialogue.

III.2.Program Objectives

The objectives of the Centers for Advanced Studies are to:

- Increase access for talented, economically and/or culturally disadvantaged students, as defined by HEC, to high performing Pakistani universities in agriculture, energy and water;
- Establish Governance structures for improved capacity and sustainability of the CAS at each university;
- Improve curriculum, better teaching; and upgrade graduate programs; and
- Apply relevant research to meet client (industry, civil society, government) needs.

The project will achieve these objectives through developing three centers of advanced studies (with one satellite) in food security/agriculture, energy, and water at the following four Pakistani public universities. USAID anticipates that 55% of this award will go to Pakistani universities and 30% of this award will go to their U.S. university partners.

1. Agriculture/food security at University of Agriculture, Faisalabad (Punjab)
2. Water at Mehran University of Engineering and Technology, Jamshoro (Sindh)
3. Energy at National University in Science and Technology, Islamabad, with a satellite center at University of Engineering and Technology, Peshawar (Khyber Pakhtunkhwa)

These universities, with three others, were identified by the HEC as top tier universities and promising "homes" for a CAS. In November 2011, USAID commissioned a feasibility assessment that examined the current capacity of these top tier Pakistani institutions to determine their potential to host CAS in the fields of agriculture/food security, energy, and water resources management. The feasibility assessment report publicly available on: https://dec.usaid.gov/dec/content/Detail.aspx?ctID=ODVhZjk4NWQtM2YyMi00YjRmLTkxNjktZTcxMjM2NDBmY2Uy&rID=MzI0MjAw&sID=Mg==&bckToL=VHJ1ZQ==&qcf=&ph=VHJ1ZQ== , helped USAID and the HEC in the final selection of the four universities for the CAS project.

Center for Advanced Studies in Food security/Agriculture

The center for advanced studies for food security/agriculture will be located at the University of Agriculture at Faisalabad. It possesses a faculty with high qualifications; good infrastructure - including IT infrastructure to facilitate communication with U.S. universities; more research than other agriculture universities; and better international linkages. While the agriculture center for advanced studies at Faisalabad will be the only agriculture center to receive U.S. Government funding, funds will be set aside for the center to regularly convene the other five universities of agriculture and the only University of Veterinary and Animal Sciences in Punjab to share curriculum, best practices in research and to hold symposium to share agricultural research that is being conducted throughout the country for better cross-fertilization of innovations.

Center for Advanced Studies in Water

All three universities assessed were capable and interested in housing a center for advanced studies, but Mehran University of Engineering and Technology (MUET) has the strongest research program. The center for advanced studies for water will be located at MUET. In addition, the Higher Education Commission is sensitive that the U.S. Government-funded centers for advanced studies be placed throughout Pakistan and not located in one province. MUET at Jamshoro was selected due to their enhanced ability to do research, as well as geographic considerations. MUET researchers boast over 100 recent publications, and it houses five water-related faculties: civil engineering, water resources management, chemical engineering, technology, and science. Two new water-related faculties recently started accepting students: land use planning and water policy. Pakistan's water issues are national in scope and vary from province to province; therefore, the center will establish a broad network for research and collaboration with other relevant universities and institutions throughout the country, including those already affiliated with USAID projects.

Center for Advanced Studies in Energy

The center for advanced studies in energy will be located at the National University of Sciences and Technology (NUST), Islamabad with a satellite center at the University of Engineering and Technology (UET) in Peshawar, Khyber Pakhtunkhwa. NUST rests on a strong engineering, laboratory and policy base. However, the focus of NUST is more conventional energy technology. UET will contribute an emphasis on innovative, non-traditional energy sources; for example, bioenergy and solar. Both centers will receive U.S. Government funding under the project. The primary-affiliate structure suits the energy sector best to develop both policy and innovative solutions in both conventional and unconventional sources of energy. In addition, it ensures that the project will serve national needs while maintaining a geographic distribution of resources.

Please see Annex “F” for contact details of each CAS university.

III.3.Program Overview

USAID expects to have three principal centers and one satellite center fully operational that have productive working relationships with their “clients.” During the course of the project these links will be strengthened, a robust scholarship program will be put in place, the approach will be solidified and the CAS will be on their way towards institutionalization through appropriate governance structures as well as industry and foundation financial support. An independent baseline assessment will be conducted prior to project implementation and an independent evaluation will be conducted at the start of the fourth year e to measure the effectiveness of the project’s activities and progress on expected results. Both the baseline and the evaluation will be commissioned by USAID Pakistan. The findings and recommendations of this evaluation will provide analysis for determining if USAID should continue support for a second phase, which will also be contingent upon availability of funds.

The CAS project success will rely heavily on Pakistani leadership through HEC as well as university leadership at the selected Pakistani universities. The organic nature of university development, Pakistan Government leadership and Pakistan’s difficult political and social environment are factors that require a flexible approach to project implementation.

The Recipient will provide U.S. technical assistance in those positions where U.S. professionals have unique expertise but will rely on Pakistani expertise as the main core of project assistance. The long-term assistance team will be supported by short-term American and Pakistani technical assistance. This short-term assistance will, as far as possible, use recurrent/iterative assistance by a team of individuals, rather than many disparate visits by different experts.

A more innovative and knowledge-driven economy can be reinforced by closer linkages and research/development institutes, universities, and industry working together. HEC has recognized the need to enhance university-industry-government linkages, and has already taken steps in its medium-term development framework II (MTDF) with university-industry technology support programs, career centers, collaborative programs, and research centers in priority areas for the socio-economic development of the country.

The Recipient will work with USAID, HEC, and with the selected universities in designing and developing the CAS. It is envisioned that the CAS will provide important bridges across the academia-industry and academia-government divide and will deliver courses, conduct research, and perform other services that are valued by industry, the private sector, and government.

III.4.Program Activities and Outcomes

III.4. Component 1: Governance of the CAS and the Higher Education Commission

The focus of this component is two-fold: to support HEC and provide it technical assistance and capacity building as it deems necessary to allow it to lead implementation of the CAS project; and to work with universities and HEC to develop governance structures within the university that clearly define roles and responsibilities for all CAS functions, as well as how CAS fits within the existing university governance structure to allow for institutionalization and sustainability of CAS.

Another aspect of this component is strategic planning. The Recipient will be responsible for assisting each CAS and CAS university with strategic planning for the CAS. Each CAS's strategic planning should be an evolving exercise that may have to be revisited and revised several times during the life of the project, as the results of ongoing analysis, policy dialogue and other factors come into play. Strategic planning should include, among other things: staffing of the CAS; university faculty involvement; activities of the CAS; a timeline and sequence of activities; and resources needed to carry out all aspects of CAS operations from research grant-making, to curriculum reform and graduate/certificate program design; from laboratory and library upgrades to scholarships, internships and exchange programs, etc.

III.4.1.a. Mandatory Activities

1. Provide short and long-term consultancies and training to HEC on an as-needed basis
2. In conjunction with HEC, establish a project steering committee led by HEC that includes members from each CAS University and USAID that will meet 2- 4 times a year to discuss progress, problems and make recommendations as necessary.
3. In conjunction with each CAS University, establish a CAS steering committee at the university level led by the Vice Chancellor and leadership of the CAS, including key department, private sector and other stakeholder representation.
4. In conjunction with each CAS, establish a committee on research and policy.
5. Establish a coordinating unit within HEC to facilitate and monitor the CAS and their fund raising activities.

6. Assist HEC achieve its mandate to ensure high quality training, leadership in policy reform, and high standards for Pakistan's public universities.
7. Through a series of workshops, conferences and/or short-term consultancies, lead CAS universities through a process by which they will "self" assess and develop strategies and an annual work plan and an overall implementation plan in all component areas. These assessments, strategies and plans will drill down to each department as they relate to this project and include work objectives and benchmarks for results. The plans will also address other areas that affect project effectiveness such as gender, how to improve communications, administration and financial management. Plans developed by the CAS should be through a consultative process that includes stakeholders from the GOP, private sector, USAID, and civil society.
8. Through a series of workshops, conferences and/or short-term consultancies, lead CAS universities and HEC through a process by which they establish governance structures at each university for CAS operations
9. Develop RFA to solicit U.S. university partners for CAS universities that HEC and USAID will approve; and solicit, award and manage cooperative agreements with U.S. university partners. Manage grant making process to Pakistani CAS universities—these grants will fund the operation of the CAS's scholarship programs, research, staff salaries, and other associated operational costs of the centers.
10. Facilitate the selection of U.S. university partners by CAS universities, HEC and USAID
11. Lead process of development and signing of initial agreements (in the form of implementation letters and/or MOUs) between USAID, the Higher Education Commission and CAS universities, prior to any sub-grant disbursement, and confirm the essential ground-rules established by each CAS university for the governance of the system. These will include:

    --roles and responsibilities of each partner;
    --provision of space for the center for advanced studies team – expected to be provided by the host universities; and
    --confirmation that centers for advanced studies-generated revenues will be cycled back into the center's administration and programs.

III.4.1.b. Illustrative Outputs

1. Initial agreements detailing responsibilities and authorities of each governance unit;
2. Final agreements/memorandum of understanding signed dealing on issues, including GOP contributions, provision of space for the CAS, recurrent costs, and use of revenues generated by the centers for advanced studies;
3. Operationalization of the governance structures;
4. An approved HEC work plan;
5. Strategic plan developed by each CAS university;
6. Implementation plan developed by the CAS that describes and costs-out activities, provide timelines, and assigns responsibilities. These plans should be developed through a consultative process ; and

7. Research agendas developed by CAS to improve the lives of Pakistanis and promote economic growth.

III.4.2. Component 2: Curriculum Reform

Wide ranging curriculum reform is necessary to make courses relevant and of high quality. This process should use an inter-disciplinary approach, relating courses and subject matter to actual needs rather than traditional academic silos. It should also include integration of advanced research and work internships into the curriculum. In addition to the need for more relevant courses, there is the need to use innovative IT platforms for delivery of instruction and to develop programs that are multi-disciplinary, for example, modules on personnel or financial management in a course on agro-business. The curriculum reform process will involve the faculties at CAS universities and CAS staff with input from HEC and U.S. university partners, as well as business community stakeholders to review existing degree programs and courses, identify areas where they are irrelevant, and identify new courses needed (some of which may already exist in other degree programs). Recommendations will be vetted by the appropriate existing university curriculum committee and HEC. Course syllabi will then be developed including options for advanced research and internships.

III.4.2.a. Mandatory Activities

1. Creation of curriculum development working group at each CAS with sub-committees for subjects and courses. These committees will include stakeholder representation.
2. Operationalize existing university curriculum committees, as necessary.
3. Assist in CAS-led development of graduate and post graduate training policies and plans that emphasize the advanced nature of the learning and research elements and develop plans linked to qualitative improvements of teaching, curriculum and research. Plans will have quantitative as well as qualitative results and benchmarks.
4. Workshops, conferences and/or short-term consultancies to assist CAS develop graduate and post-graduate training policies that emphasize the relevant nature of the learning and research elements and develop plans linked to qualitative improvements of teaching, curriculum and research. Plans will have quantitative as well as qualitative results and benchmarks.

III.4.2.b. Illustrative Outputs

1. Graduate and post graduate training policies approved by CAS universities;
2. Establishment of transparent, review panels at CAS universities for graduate and certification programs, as needed;
3. Professional certification degrees established;
4. Graduate courses developed/revised that are more relevant to the Pakistan context; and
5. Innovative IT platforms used to deliver instruction.

III.4.3. Component 3: High Quality Applied Research

CAS research must relate to real problems and issues that affect the lives of Pakistanis and support economic growth. This will range from resolving discrete problems that may affect a farmer or business to macro issues such as constraints to development in each sector. The need for high quality, advanced research must be infused in the work of faculty and students. Developing/refining the standards for what constitutes high quality and advanced or relevant research, while not in itself complicated, will require a new mind-set for many – away from the overly theoretical or non-applied examples. In addition the focus of this component is to involve the business community and relevant government agencies in the research agendas developed to ensure relevancy, as well as encourage private sector funding for advanced research.

Under the leadership of each CAS council for research and policy, and in collaboration with stakeholders, each CAS will develop its standards and parameters for high quality, advanced research and research agendas. The council and its individual members will reach out to its stakeholders – relevant government officials, civil society and the private sector – through private meetings and formal advisory committee meetings. These research agendas will ultimately be subject to the approval of the councils for research and policy. As part of this component each university's laboratories and libraries will be improved as needed to bring them up to modern standards, including communications and IT innovations to promote effective research.

There will be a strong link between research and policy dialogue formulation with the councils sponsoring politically neutral policy analysis, dialogue and research that informs policy. These councils will be lean and pro-active. To be effective, they will include government and stakeholder representation, with especially strong private sector participation. A likely composition of a council would include the CAS director, a government representative from the sector, several key private sector representatives, as well as relevant civil society, faculty members, ex officio members from the project team, USAID, and HEC. This committee would periodically expand to include more public participation, as needed.

III.4.3.a. Mandatory Activities

1. Assist each CAS to lead stakeholder meetings to set research agendas.
2. Assist each CAS to develop plans for laboratory and library improvements through workshops, conferences and/or short-term consultancies.
3. Assist each CAS to convene policy dialogues among key stakeholders in their sector.
4. Library and laboratory upgrades assessed and proposed to USAID for construction by another USAID implementing partner.
5. Equipment and material procured for labs and libraries.
6. Research conducted in collaboration with U.S. university partner.

7. Procure all equipment and materials for the project and participating Pakistani universities. The procurement includes solicitation, transport, and customs clearance when required and will include installation as required. The Recipient will discuss how this procurement will be done in the management plan as part of the application.

III.4.3.b. Illustrative Outputs

1. Councils for research and policy, with broad representation, established and operating.
2. Research agendas approved.
3. Research results widely disseminated.
4. Libraries and laboratories upgrades through infrastructure improvement (USAID construction contractor) and equipment/documents.

IIII.4.4.Component 4: Graduate and Post Graduate Training

During the curriculum reform process, in working with U.S. university counterparts, CAS-affiliated professors will be re-introduced (or introduced) to effective teaching techniques that promote, rather than discourage, critical thinking. This component emphasizes extensive short-term study and exchange programs for professors and students, as well as scholarships and internship opportunities.

Almost all scholarships will be fully project funded (tuition, fees, books, stipends, etc.), though they may be funded by the private sector, other donors or the university, as well. Scholarship students will attend CAS universities. Each university has existing structures, staff and financial management structures to manage the scholarship programs. The Recipient will ensure that CAS universities follow USAID policies and guidelines for scholarships and training as well as HEC policies and guidelines.

Within these degree programs, students may have the opportunity to attend U.S. universities for a semester or shorter period. Training will be predominantly for master's level students and post graduate, non-degree training in needed technical areas and research. Most importantly, training will be geared to create employable graduates with the skills needed for Pakistan's private as well as public sector. The CAS will reach out to the business community and relevant GOP entities to ensure relevant training programs are developed.

IIII.4.4.a. Mandatory Activities

1. Assist in CAS-led development of graduate and post graduate training policies and plans that emphasize the advanced nature of the learning and research elements and develop plans linked to qualitative improvements of teaching, curriculum and research. Plans will have quantitative as well as qualitative results and benchmarks.

2. Assist in CAS-led development of graduate and post graduate short-term training and exchange programs Provide oversight management and cost and logistics support for exchanges between U.S. universities and Pakistani universities to include conferences, workshops, symposia, etc.
3. Workshops and exchanges with U.S. university partners on effective teaching techniques at the graduate level that promote critical thinking.
4. Plan developed by CAS in conjunction with U.S. university partners to identify and operationalize innovative IT platforms for teaching.
5. Assist each CAS in development of internship program with the private sector.
6. Assist CAS universities in administering a transparent merit and needs-based scholarship program for CAS developed/revised degree or certification programs, according to HEC standard operating procedures.

III.4.4.b. Illustrative Outputs

1. Scholarship awardees receive graduate degrees.

2. Faculty and student exchange programs established and operating; IT innovations used to deliver instruction.
3. Internships with the private sector established and operating.

III.4.5. Component 5: Sustainability through Industry/Private Sector Links

CAS sustainability rely on three key factors: 1) government leadership (both at the public universities that host CAS and by HEC) is essential if project reforms are to survive at these CAS universities as well as spread throughout the higher education system; 2) the ability of each CAS to raise revenues and make alliances with stakeholders is the best indication of their relevance and, thus, an essential aspect of the project's sustainability--these alliances will come as CAS graduates show their value to the businesses and institutions for which they work, and CAS research solves problems of government, community and industry; and 3) enduring partnerships with top-notch universities outside of Pakistan (in this case U.S. universities) to globalize education, exchange ideas, collaborate on research and raise standards.

While it will take several years to prove the value of CAS graduates, engagement with the private sector can begin immediately as well as research that is useful to the commerce, industry and communities. As confidence builds in the contributions of CAS to industry profitability (and as universities learn how to market their programs and research better to industries and foundations), USAID expects the costs of the advanced research to shift to the business community and foundations.

Past experience demonstrates that once solid Pakistan- U. S. university partnerships are established, including personal relationships among professors, these linkages will last far into the future and beyond the parameters of the project, adding depth to and strengthening both institutions.

IIII.4.5.a. Mandatory Activities

1. Through collaboration with U.S. university partners, assist each CAS (and its host university) to increase its capacity to raise funds from alumni, grant-making foundations, and the private sector.
2. Assist each CAS to reach out to the business community and other private sector stakeholders to both establish productive dialogue and to "market" university services and graduates.
3. Facilitate linkages between each CAS and its U.S. University partner.

III.4.5.b. Illustrative Outputs

1. Final agreements/memorandum of understanding signed dealing on issues, including GOP contributions, provision of space for the CAS, recurrent costs, and use of revenues generated by the centers for advanced studies.
2. Establishment and operation of interdisciplinary committees at each center for advanced studies, including private sector representation, to develop research agendas and programmatic recommendations.
3. Public private partnerships and/or global development alliances established.
4. Research activities funded through each center that are perceived to be of value to stakeholders.
5. Strategy and plan developed for the engagement of potential funders – Pakistani, international and American.
6. Generation of funds by each center from non-government and non-donor sources.

III.5.Anticipated Results

A cadre of qualified operationally oriented graduates for employment in the private and public sector in agriculture, water and energy is a major output. The centers for advanced studies will have formed partnerships and interest-specific networks by bringing together the best minds in academia, government and the business community to research solutions to some of Pakistan's greatest challenges as well as the immediate production and efficiency challenges facing the public and private sector in each area. Universities will be equipped to provide equitable opportunities to promising students of limited means or disadvantaged groups to obtain higher education that is relevant to the needs of government and the business community in the three focus sectors. Cooperative links between the universities and business will be functional and will result in financial support for applied research and improved quality of faculty, accomplished without relying entirely on public or donor financing. A tested approach and a model to strengthen higher education that can be replicated in other sectors and at other universities will be in place.

The following are CA outputs essential for achievement of USAID's development objective and the anticipated results.

1. Increased access to high performing Pakistani universities in agriculture/food security, energy and water.
2. Governance structures established for improved capacity, institutionalization and sustainability of each CAS (i.e. increased technical capacity of HEC and hosting universities; hosting universities able to provide financial support for each CAS independent of donor or public financing, as well as through public financing; Public Private Partnerships and Global Development Alliances developed).
3. Improved curriculum and better teaching (i.e. improved pedagogy, new and revised curricula, networking and access to global education networks, continuous faculty and staff development, partnerships with U.S. universities).
4. Applied research meets client (industry, community, government) needs (i.e. councils for research and policy operational, applied research conducted, classrooms connected with industry/field; student internships established in the private sector).

III.5.1.Mandatory Results and Targets for this CA

The Recipient through successful implementation of the CAS project will provide assistance that (at minimum) will achieve the following targets:

1. 250 degrees awarded per CAS to students who receive scholarships under the project, resulting in more degree-holders in energy, water, and agriculture/food security, who are employed in both the public and private sector to support socio-economic development.
2. 200 faculty, students and staff participated in exchanges to the U.S. that will result in university faculty with enhanced teaching and mentoring skills, and staff with stronger administrative and management skills.
3. At least 50% of graduates from each CAS employed in a field relevant to water, energy or agriculture/food security.
4. A minimum of four American-Pakistani university linkages that institutionalize professional development programs significantly improve teaching and research and improve how universities interact with and receive funds from the business community in the focus sectors.
5. A wide regional diversity of students including economically disadvantaged students trained.
6. Percentage of female participation in CAS activities exceeds by 15% the present rate of participation at the hosting universities, with the objective of reaching 50% female participation in CAS activities.
7. 50 advanced research projects conducted by each center.

8. 50 internships with the private sector from each CAS.
9. Council for research and policy (think tank) operational in each CAS.
10. At least five public-private partnerships (PPPs) or global development alliances (GDAs) established.
11. Each CAS generating $3 million from industry, non-government and non-donor sources.
12. Three professional certification degrees/programs established at each CAS.
13. At least 20 courses at each CAS University with a modern, relevant Pakistan-centric curriculum that meets international standards.
14. Each CAS will have a dedicated library supporting CAS priorities.
15. Specialized research/laboratory facilities at each CAS university, including the use of innovative and appropriate IT and communications technology that support the service and problem solving focus of the center, established/upgraded through the CAS project either through project funding or as a result of public-private partnership.

IV. Authorizing Legislation and Programmatic Links

IV.1. This program is authorized under the Foreign Assistance Act of 1961, as amended.

IV.2. USG Civilian Assistance Strategy

The CAS project supports the U.S. Government's civilian assistance strategy in Pakistan by focusing on pre-identified priority technical sectors of energy, water and food security/agriculture, in which significant resources are already being invested. The CAS project is expected to be mutually supportive to USAID/Pakistan's Economic Growth, Agriculture and Energy projects. CAS advanced research and partnerships with industry will support USAID's economic growth objective of "a self-sustaining future for Pakistan by nurturing more of the following: competitive enterprises, efficient market environments, effective government policies, and rewarding business opportunities, especially for women." The CAS project supports USAID's economic growth and agriculture strategic results framework to work with partners to strengthen Pakistan's agricultural sector by improving the competitiveness of agricultural value chains, increasing technological innovation, promoting water use efficiency, and increasing productivity. In particular, the project will support interventions initiated by the USAID/Pakistan Economic Growth and Agriculture Office, such as the Agribusiness project, the Agriculture Policy project (which includes advanced research) the Gomal Zam Dam Irrigation Development project and the Satpara Irrigation project. The CAS project will also seek synergies with other U.S. Government partners with activities and interests in Pakistan, such as the Department of Agriculture, Department of Energy and the Department of Commerce, Commercial Law Division.

The Civilian Assistance Strategy also states that U.S. Government interventions will help Pakistan in its efforts to improve the quality of and expand access to higher education opportunities. It emphasizes that U.S. Government supported activities be implemented in large part through local partners. The CAS project will improve quality and expand access to higher education as well as build institutional capacity and personnel capabilities of Government of Pakistan universities; this should have a salutary impact on all U.S. Government assistance.

IV.3.USAID Higher Education Solutions Network (HESN) program

The primary objective of the CAS project is to improve Pakistan's ability to address both technical and policy issues in the areas of energy, water and agriculture, by helping to establish Pakistani university centers supported through associations with U.S universities with expertise in the respective sectors. The emphasis of the activity is on the application of innovative knowledge, data, and technical expertise, not on pure academic research. In addition to the U.S. university connections, each center will develop working relationships with Pakistan's business community and relevant Pakistani government agencies, to ensure that both revised curriculum and applied research are linked to solving challenges currently faced in Pakistan.

IV.3.a.HESN objectives

The primary objective of HESN is to substantially improve the efficacy and impact of USAID's programs and policies by harnessing the power of universities and other research institutions as centers of innovation for development. The HESN will engage an innovative, heterogeneous community of academically-based single institution and consortium centers focused on expanding USAID's work to integrate science and technology in international development. The project will incentivize academic institutions to approach development in novel, multidisciplinary ways, and build a constituency for development among university researchers. Specifically, the centers will help USAID and the larger development community (1) better define development problems and constraints to their solution, (2) identify, test, and create potential and existing solutions to those problems, and then (3) encourage entrepreneurship, experimentation, and innovation in addressing those problems, with the overall goal of improving the effectiveness of the Agency's development efforts.

IV.3.b.CAS and HESN nexus

Clearly there are similarities of purpose for CAS and HESN. Both have been designed and are being implemented to strengthen the ability to solve critical development challenges through the use of science and technology while encouraging a multidisciplinary approach to problem solving. Both also draw on the strengths of the university community to engage with USAID in the field of development in a practical way. Therefore the CAS project should establish a link between the two so that HESN.

V. Roles and Responsibilities of Key Partners in CAS Implementation

V.1.Key Partners

- USAID Pakistan
- Higher Education Commission of Pakistan
- Four Pakistani universities
- Three U.S. partner universities
- Industry (Pakistani and international)
- Applicant (as facilitator)

V.2. Matrix

The following matrix explains the role of each key partner in the CAS project. The Applicant should consider these roles and provide Information in the application about how they will interact with the other key partners and manage/facilitate these relationships.

Key Partners –Responsibility Matrix

Higher Education Commission	USAID	U.S. Universities	Pakistani Universities	Industry	Grantee/Applicant
Accountability of Pak university for results **A**pproval of RFA to U.S. universities **S**election of U.S. university partner for CAS university **V**alidation of criteria for faculty and staff recruitment for CAS **V**alidation of new or revised curriculum **V**alidation of each Pak university's research grant selection procedures **V**alidation of new degree programs **C**hair of national steering committee **P**rocessing/ facilitation Intellectual property rights and patents registration for the CAS universities	**A**pproval of RFA to U.S. universities **C**onstruction **P**rovision of vehicles from closed-out projects **B**ring U.S. businesses and Pak universities together (American Pakistan Foundation, etc.) and Commerce Department **M**OU with HEC and CAS universities	**H**elp Pak universities explore different teaching delivery systems **A**ssist Pak universities in how to work with industry leaders **A**pplied research in collaboration with Pak universities **S**tudent exchanges **F**aculty exchanges **D**issemination of research **W**ork with Pak universities to create more relevant curriculum **A**ssist in identification of innovative approaches to applied research and teaching **H**elp Pak universities identify gaps and develop strategic plan **A**ssist Pak universities in development of research grants office **A**ssist Pak universities in how to attract financing and set up endowments **A**ssist Pak universities in doing effective fundraising	**G**ap analysis and strategic plan **G**overnance structure developed **P**rioritization of departments areas the CAS should focus on **V**ision/leadership of CAS project **N**etwork with industry **N**etwork with other Pak universities **L**inkage with government **R**evision of Curriculum **C**reation of new degree programs (as necessary) **P**rovide scholarships **D**evelop standards/criteria for faculty and staff recruitment for CAS **S**election of U.S. partner university **D**evelopment of on-line courses for professional certification **E**xploration of different teaching "delivery" systems **D**issemination of research **R**esearch protocol development **A**pplied research **S**tudent exchanges **F**aculty exchanges **I**nternships **E**stablish Council for Policy and Research	**N**etworking and linkages building with CAS and other universities **P**articipate as member of CAS governing committees and councils for policy dialogue and think tanks **I**dentification and prioritization of industrial needs that require applied research **C**ollaboration with Pak universities for **I**dentification of human resource requirements at industry **S**tudents internships /placements **F**unding to sustain CAS activities such as applied research	**W**riting and issuance of RFA for U.S. university participation **O**versight **F**acilitating governance structure between the CAS and the Pak university **C**onvene workshops for CAS to work on management and technical issues **G**rants Management **Fi**nancial/audit administration **F**acilitating unifying linkages among CAS teams across sectors **C**onference facilitation **F**acilitating consultative meetings **F**acilitating networking among universities (both CAS and non-CAS) **F**acilitate/convene national CAS steering committee **E**stablish benchmarks for release of grant money both for U.S. and Pak universities **P**rocurement of Equipment **O**versight of scholarship process to ensure adherence to HEC standards **L**imited TA **W**ide dissemination of research findings and best practices for CAS **F**acilitation of ADS requirements for student/faculty exchanges to the U.S.

SECTION II - ELIGIBILITY CRITERIA

II.1. Eligibility Requirements

II.1.1. This RFA is issued to ensure that all interested and qualified organizations have a fair opportunity to submit applications for funding.

II.1.2.Central Contractor Registration (CCR) and Universal Identifier: All Applicants must be registered in CCR and have a DUNS number unless exempt under 22 CFR 25.100 to be eligible to apply under this RFA. See Section VI.12 of this RFA.

II.1.3.USAID will **not** accept applications from individuals. Foreign governments, state and local governments and USG departments and agencies may also not apply for USAID funding under this RFA. All Applicants must be legally recognized organizational entities under applicable law. The following types of organizations may apply for funding under this RFA.

II.1.3.1.Colleges and Universities: Qualified U.S. and non-U.S. colleges and universities (including minority serving institutions, community colleges, and women's colleges) may apply for USAID funding under this RFA. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. *Consortia of colleges and universities or university associations are encouraged to apply*. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

II.1.4.New Partners

USAID encourages applications from organizations that have never received a direct award from USAID. However, resultant awards to these organizations may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their "responsibility" (see below). These organizations should take this into account and plan their implementation dates and activities accordingly.

II.1.8.Geographic Restrictions

Applicants, (including teaming partners and consortium members) regardless of entity type, may not be from a foreign policy restricted country, i.e., Cuba, Iran, North Korea and Syria.

II.1.9."Responsibility" of the Applicant

In order for an award to be made, the Agreement Officer must make an affirmative determination that the Applicant is "responsible," as discussed in ADS 303.9 (see also

Section VIII of this RFA). This means that the Applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

In the absence of an affirmative “responsibility” determination, an award cannot be made ordinarily. However, in rare cases, an award can be made with “special award conditions” (i.e., additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative determination of “responsibility” cannot be made), but only where it appears likely that the Applicant can correct the deficiencies in a reasonable period.

II.1.10. Cost-sharing

A. Cost-sharing is an important element of the USAID-Recipient relationship. In addition to USAID funds, Applicants are required to contribute resources from their own, private or local sources for the implementation of this project. Therefore, cost-share is anticipated to be equal to 5% of the total budget of the project cost.

B. Cost-sharing will consist of cash and in-kind as under:

    a. In kind contribution of Higher Education Commission of Pakistan and four Pakistani universities that have been selected to house Centers for Advance Studies. This in-kind contribution is anticipated to be $2million and will include: office space provided by higher Education Commission to house CAS project management unit in Islamabad; and office space provided by each CAS Pakistani University to house the CAS.

    b. In cash contribution will include $3 million generated by three CAS’s from industry, non-government and non-donor sources.

C. Cost-sharing is defined at 22 CFR 226.23.

SECTION III – IMPLEMENTATION ARRANGEMENTS

III.1.Program Management and Staffing

Technical Direction and Coordination

The Agreement Officer's Representative (AOR) will be responsible for oversight and technical direction of the project, both in writing and verbally. Project personnel will be expected to meet regularly (via conference call or in person) with the AOR or his/her designee to review the status of activities, and should be prepared to make periodic, unplanned oral and written briefings to USAID/Pakistan and U.S. Embassy/Islamabad staff, as appropriate.

Personnel Requirements

The Recipient shall propose technical personnel and other personnel, as deemed appropriate, to implement the major tasks above. All initial appointments and any changes to Key Personnel positions will require the prior written concurrence of the Agreement Officer's Representative and approval of the Agreement Officer

USAID anticipates that a large proportion of the work will be done by Pakistanis or through part-time expatriate TA and this factor should be considered in nominating individuals for Key Personnel positions and in otherwise staffing the project. In this regard, it is critical that other essential positions be identified and potential candidates described by the Recipient in its proposal so as to provide a clear view of the approach to technical components of the work, coaching and mentoring needs, etc. Accordingly, the Recipient will identify in its proposal proposed Key Personnel, long term permanent staff and consultants while providing these individuals' curriculum vitae and biographical sketches.

The following positions are considered Key Personnel who are considered to be essential to the work being performed due to their skills and position within the CAS project implementation team. Once included in a signed award, key personnel may not be replaced without the written approval of the Agreement Officer. The Recipient shall recruit and establish a team of experts and supporting staff to develop and implement the project and to manage its central and local elements including short-term consulting and coordination with other partners in the project.

Chief of Party

The Chief of Party shall be responsible for the overall leadership, management and implementation of the program and report directly to the designated USAID Agreements Officer's Representative (AOR). S/he shall supervise project implementation, serve as the principle interlocutor with USAID and the GOP and ensure the project meets stated goals and reporting requirements. The Chief of Party will meet the following minimum set of qualifications:

- the Chief of Party shall have a master's degree (Ph.D. preferred) in Public Policy, Higher Education, Administration, International Development or a relevant field from an internationally recognized university;
- a minimum of ten years of professional experience in the successful implementation of higher education human and institutional capacity development programs,
- a minimum of five years of international experience leading capacity development programs that involved collaborative design and implementation across multiple institutions;
- proven leadership in the administration of similar size international donor technical assistance projects or universities with skills in strategic planning, management, supervision and budgeting;
- familiarity with Pakistan and/or Asia preferred.
- proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-disciplinary teams; and
- evidence of strong communication skills, both interpersonal and written, to fulfill the diverse technical and managerial requirements of the award.

Deputy Chief of Party

The Deputy Chief of Party should complement the strengths and responsibilities of the Chief of Party. The Deputy Chief of Party will be responsible for day-to-day project management, including management of staff, activities and sub-awards and oversight of monitoring, evaluation and reporting. The Deputy Chief of Party will meet the following minimum set of qualifications:

- a master's degree in a relevant field from an internationally recognized university;
- a minimum of 7 years of progressively more responsible experience managing higher education and human and institutional capacity development projects;
- a demonstrated commitment to addressing challenges of higher education reform in developing countries;
- a demonstrated ability to work collegially and productively with a variety of partners and stakeholders;
- significant contract and grants management experience;
- familiarity with Pakistan and/or Asia is preferred; and
- ability to participate in all representation and technical meetings in English; speaking Urdu is preferred.

Note: It is preferred that at least one of the above two positions should be held by someone who is thoroughly knowledgeable with the culture and mores of Pakistan and is fluent in Urdu.

Finance and Grants Manager

The incumbent holding this position will provide overall technical and administrative leadership in the areas of Financial Management and Grants Management for the CAS project in Pakistan.

General responsibilities will include accounts payable, cost allocation, quarterly reporting, payroll, budget preparation, subcontract/grants management, and tracking support. In addition, the Manager will be responsible to set up the CAS grants manuals, policies, procedures, performance score cards and reporting systems and requirements that are compliant with USAID grants management regulations. The finance and grants manager will have the following minimum set of qualifications:

- a minimum of seven years of experience in Financial Management and post-graduate qualifications in Finance, Business Administration, Management, or Accounting;
- experience with international development programs and actors, with universities and institutions of higher education; experience managing grants under a USAID-funded project preferred;
- demonstrated effective interpersonal skills, leadership, creative problem-solving and ethical management skills;
- strong data analysis and report writing skills;
- excellent oral and written communication skills; and
- English language fluency required; knowledge of Urdu and other local languages strongly preferred.

Administration Director

The Administration Director will provide overall technical and administrative leadership in the areas of project administration and procurement for the CAS project. General responsibilities will include day-to-day project administration, and all procurement-related support. In addition, s/he will work with the Chief of Party, HEC and respective CAS universities, to ensure all procurements are made in compliance with and are congruent with USAID regulations. The administration director will have the following minimum set of qualifications:

- a minimum of seven years of experience in administration and procurement;
- a master's degree in Business Administration, Management, or relevant field;
- demonstrated effective interpersonal skills, leadership, creative problem-solving and ethical management skills;
- excellent oral and written communication skills; and,
- English language fluency is required; knowledge of Urdu and other local languages strongly preferred.

Monitoring and Evaluation Advisor

The Monitoring and Evaluation (M&E) Advisor shall be responsible for coordinating the development of a performance management plan for the project, including performance monitoring criteria. The M&E Advisor will have the following minimum set of qualifications:

- a master's degree from an accredited, well-renowned university in a relevant field;

- a minimum of seven years of monitoring and evaluation experience using USAID or similar donor systems and templates with at least three of these years of experience working in developing country settings, preferably on higher education programs;
- strong M&E skills, data analysis and report writing skills required;
- excellent oral and written communication skills; and
- English language fluency is required; knowledge of Urdu and other local languages preferred.

Other Required Principal Project Personnel

The Recipient has the discretion to determine the proper number and mix of additional personnel, personnel from local organizations, short-term technical staff, and others to meet project requirements, to be described in the technical proposal. If the Recipient proposes technical leads for particular areas, USAID/Pakistan strongly encourages that they consider locally (non-overseas)-hired technical leads for some or all positions. All personnel must demonstrate exceptional written and oral communication skills in English and have an excellent command of the technical area. Familiarity with the political, social, economic and cultural context of working in Pakistan is also necessary.

III.2.Financial Plan

The ceiling for this Associate Award Cooperative Agreement is $90-100 million over the five-year implementation period, contingent on availability of funds. At the program outset, the USAID/Pakistan Mission intends to sub-obligate $13 million for Year 1 activities.

The minimum requirement for cost sharing under this RFA is 5 **%**of the total costs. USAID requires applicants to demonstrate their commitment to program success by addressing the requirement for cost sharing. USAID policy is that cost sharing is an important element of the USAID-recipient relationship. Cost share is defined by USAID as “contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient’s records.” Additional information on the provision of cost sharing can be found in 22 CFR 226.23. USAID policy on cost share can be found in ADS 303.3.10.4, Meeting Cost Sharing Requirements and Standard Provision “Cost Sharing (Matching) (February 2012).

III.3.Reporting Requirements

The following reports and related requirements will be included in the cooperative agreement issued as a result of this RFA: a) Annual Implementation Plans; b) Monitoring and Evaluation Plan; c) Quarterly Progress Reports; d) Annual / Semi-Annual Performance Reports; and d) Final Completion Report.

The Recipient shall be responsible to USAID for all matters related to the execution of the agreement. Specifically, the Recipient shall report to the Agreement Officer, USAID Pakistan and to the Agreement Officer's Representative (AOR), within the Education Office, USAID Pakistan, who will be designated by the Agreement Officer prior to award.

Recipient will be required to submit performance and financial reports to USAID/Pakistan in compliance with the terms of the Cooperative Agreement, including, but not limited to:

Annual Implementation Plan:
The Recipient will submit annual implementation plans within 30 calendar days of the award to the AOR keyed into each US fiscal year of the Cooperative Agreement. The Recipient will provide illustrative annual implementation plans for each year of the Cooperative Agreement, which will be finalized in consultation with USAID Pakistan's Education Office and HEC. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOR.

a. Contents

The implementation plan will describe activities to be conducted at a greater level of detail than the agreement Program Description, but shall be cross-referenced with the applicable sections in the agreement Program Description.

All implementation plan activities must be within the scope of the agreement. Implementation plan activities shall not alter the Agreement Program Description or terms and conditions in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the implementation plan and the agreement Program Description or other terms and conditions of this agreement, the latter will take precedence over the implementation plan.

b. Distribution

Copies of the final implementation plans will be distributed as follows: one copy to the AOR, and one copy to the Agreement Officer.

c. Revisions

In the event that revisions to the annual implementation plans are necessary, the Recipient shall submit a revised implementation plan or a modification to the implementation plan in writing. The modification or revision will not be effective until it has been approved by the AOR in writing.

1. Monitoring and Evaluation Plan

The Recipient will work in consultation with the AOR, other USAID Pakistan staff and USAID's independent monitoring and evaluation contractor to develop and execute a final M&E plan, including to establish a final list of indicators, and performance targets for each indicator.

The baseline data will be collected by USAID Pakistan's independent monitoring and evaluation contractor. M&E plan will be submitted within 30 days of the award. The M&E Plan will be revised as appropriate on an on-going basis in collaboration with the AOR.

2. Progress Reports

The Recipient shall submit quarterly progress reports to the AOR that reflect results and activities of each preceding quarter. The report shall describe progress made during the reporting period and assess overall progress to that date versus agreed upon indicators including the agreement-level outputs achieved, using the agreement-level performance indicators established in the annual implementation plan for that quarter. The reports shall also describe the accomplishments of the Recipient and the progress made during that past quarter and shall include information on all activities, both ongoing and completed during that quarter. The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the Recipient and propose solutions to those problems. The reports will include financial information on the expenses incurred, available funding for the remainder of the activity and any variances from planned expenditures. The format of the progress reports will be determined in consultation with the AOR. The quarterly progress report is due within 15 calendar days after the end of each quarter.

3. Annual and Other Performance Reports

Annually the Recipient will be required to prepare and submit performance reports reflecting more detailed data on achievements and targets. The Recipient may be expected to respond to ad hoc data requests by USAID Pakistan. The format for both the annual report and the ad hoc data will be determined by the AOR, based on Mission needs. Annual report will be due within 30 calendar days after the end of each year.

4. Final Completion Report

The Recipient shall prepare and submit a final/completion report within 30 calendar days after completion of the performance period of the award to the AOR that summarizes the accomplishments of the agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement.

Recipient shall submit one copy of a Final Report to the USAID AOR and one copy to the Agreement Officer. In addition, one copy shall be submitted to:

USAID Development Experience Clearinghouse (DEC)
Online (preferred):
http://dec.usaid.gov
Mailing address:

Development Experience Clearinghouse
RFA: 391-13-_______________
Center for Advance Studies (CAS)
M/CIO/KM
RRB M.01
U.S. Agency for International Development
Washington DC 20523

The Final Report shall contain the following information as described in 22 CFR 226.51(d), covering the full period of the Award: an executive summary of the accomplishments and results achieved; an overall description of the activities and accomplishments; a summary of problems/obstacles encountered during implementation; an assessment of the performance in accomplishing the project's objectives; significance of these activities; findings; comments and recommendations; other pertinent information. This report should eliminate politically sensitive or proprietary information. Reports should incorporate as many graphics (maps, photos, charts, etc.) as possible and should include all project and evaluation tools and materials, in the annex.

5. Financial Reporting and Payment

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful Applicant is selected. Advance payments in lieu of reimbursement payments may be authorized if the Applicant's systems, policies, and procedures meet USG and USAID requirements (see 22 CFR 226.21 [US NGOs] or the non-US standard provision entitled "Accounting, Audit and Records"), and the Recipient has written procedures that minimize the time elapsing between the transfer of funds from USAID to the Recipient and disbursement of those funds by the Recipient for costs incurred. The Recipient may be required to have a U.S. bank account into which payments under the award will be made. USAID Pakistan requires quarterly accrual information; however, if the Recipient's accounting records are not normally kept on the accrual basis, the Recipient shall not be required to convert its accounting system, but shall develop such accrual information through best estimates based on an analysis of the documentation on hand.

6. **PakInfo**

Each fiscal quarter the Recipient will update their program information on USAID's Pak Info website.

7. Security Reporting

As part of the overall security requirements, the Recipient shall report any security threats and/or incidents verbally / by telephone, immediately to the following USAID/Pakistan representatives:

- Security & Safety Specialist and any other USAID/Pakistan EXO designated official(s);
- Executive Officer (EXO); and
- AOR.

Subsequently, a written report shall be submitted in accordance with approved procedures. The Recipient shall develop a list of specific steps to track any potential/identified threats, which will be part of its overall security system. All subcontractors will be required by the Recipient to report any threats/incidents to the Recipient, who will immediately after, notify the above listed USAID/Pakistan representatives.

Security Reporting Responsibilities

USAID requires appropriate Security reports be submitted to the Islamabad Safety & Security Specialist, Executive Office; AOR and other USAID/Pakistan officials as directed by USAID Executive Office. The type and frequency of these reports may vary with the project scope, location, and criticality. The Recipient shall report an Initial Threat Assessments and subsequent changes as often as the situation requires (weekly, bi-weekly, monthly etc.). The Recipient is also required to notify USAID of any security related incident in a timely manner according to the following guidelines:

Incident Reporting

There are various types of Incident Reporting: Serious Incident Report (SIR); Incident Report (IR); Situation Report (SITREP); and any other security related report that may be required by USAID.

Serious Incident Report (SIR)

- An incident that involves the death, injury, kidnapping of IP personnel and/or damage to IP property.
- An incident that has critically damaged the funded program, such as fire, catastrophic flood, etc.
- Initial SIR must be reported verbally immediately, and within 4 hours of the incident occurrence/discovered.
- A Complete SIR must be filed in writing /e-mail within 24 hours of the incident.
- Updated written SIR will continue to be filed in a timely basis (daily, weekly) as long as the situation exists. The time line will be adjusted as required by USAID-Islamabad Safety & Security Office.
- Final Report SIR will summarize the incident, the subsequent happenings and the final resolution.

Incident Report (IR)

- An incident involving accidents, potential harm, SUSPICIOUS persons or acts, threats or harassing actions against personnel or the program.
- IR should be initially reported by phone immediately, follow up with a written report filed as soon as possible (within 24 hours). After the incident is evaluated, a complete detailed written report must be submitted to USAID-Islamabad, not later than 72 hours after the incident.

Situation Report (SITREP)

- A report that a significant, but not critical action or activity, has taken place that has impacted, or may impact, on the well-being of the personnel or the success of the program.
- This report may describe trends, second hand information that may have bearing on the project, or impact on future operations.
- There is no pre-determined reporting timeline. The report will be issued as needed and required by USAID Islamabad Safety & Security Office.

Telephonic communication is the preferred method to provide the initial information of an incident. A written report by e-mail must follow as soon as possible within above described guidelines and it shall be as detailed as possible. The report shall follow the format approved in the original Security Plan but at a minimum it shall contain the name of the company, name of the victim(s), date, time, a description of what happened, where the incident occurred, and any other relevant details surrounding the incident. If this is an ongoing incident, progress reports should be submitted in accordance with the guidelines provided in order to keep USAID-Islamabad Security personnel apprised of the situation.

III.4.Program Income

Any program income generated under the award(s) will be added to USAID funding, (and any cost-sharing that may be provided) and used for program purposes as described in 22 CFR 226.24(b)(1.) However, pursuant to 22 CFR 226.82, if the successful Applicant is a for-profit organization, any program income generated under the award(s) will be deducted from the total program cost to determine the amount of USAID funding. Program income will be subject to 22 CFR 226.24 for U.S. NGOs or the standard provision entitled “Program Income” for non-U.S. NGOs.

III.5.Environmental Procedures

i)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. 109 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. Environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

ii) 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.

iii) No activity funded under a USAID grant 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)approved by the Bureau Environmental Officer (BEO).

SECTION IV – APPLICATION FORMAT AND SUBMISSION INSTRUCTIONS

IV.1.Instructions for the Preparation and Submission of Applications

Applicants are required to submit an electronic version and hard copies of the technical proposal and a separate electronic version of the cost proposal to shumayun@usaid.gov. The technical application will be appended to the award as the method of implementation of the program description. Technical portions of the application are to be submitted in an original and three copies, and cost portions of the application in an original and two copies.

1. Applications shall be submitted in two separate parts: (a) Technical and (b) Cost or Business Application.

2. Technical applications must be written in English language.

3. The cost/business application must be written in the English language and there is no limit on the number of pages for the cost/business application. The cost/business application is to be accompanied by SF-424 series, which includes:

- SF-424, Application for Federal Assistance
- SF-424A, Budget Information, Non-construction Programs
- SF-424B, Assurances, Non-construction Programs

These Standard Forms can be found under Annex B. A link to these forms can also be found at: http://www.grants.gov/agencies/aapproved_standard_forms.jsp

4. The application must be submitted via e-mail to shumayun@usaid.gov **by December 12, 2012, NLT 14:00 PM Pakistan Standard Time (PST).** Applications **not submitted through email address will not be considered.** The electronic file must be labeled as follows: "[organization name]: Technical Application; [organization name]: Cost/Business Application."

5. **Closing Date and Time:** The email submission of the application in response to this RFA shall be due no later than **December 05, 2012, NLT 14:00 PM Pakistan Standard Time (PST).** The time stamp on the email received shall serve as the official time of receipt. USAID bears no responsibility for transmission errors or delays. Late applications will **not** be considered.

6. **All Questions regarding this RFA must be submitted in writing to shumayun@usaid.gov NLT 14:00 PM Pakistan Standard Time (PST)** by November 09, 2012.

7. Applications must be submitted **on or before 14:00 PM on December 12, 2012.**

IV.2. Technical Application Guidelines

Technical portions of the application are to be submitted in an original and three copies, and cost portions of the application in an original and two copies.

The application should be prepared according to the structural format set forth below. The application must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 2 of the cover letter and page 31 of Section IV accompanying this RFA.

Technical applications should be specific, complete, and concise. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the technical evaluation criteria found in Section V.

The Recipient should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the application, USAID will consider only applications confirming to the format prescribed below.

- **Preparation Guidelines for Technical Proposal**

The length of the technical proposal shall not exceed 20 pages, with 1.5 line-spaced pages and standard one inch margins. . **Information submitted as part of the technical application over 20 pages will not be evaluated.** Applicants must use Calibri font, size 11 or a similarly sized typeset. A page in the application which contains a table, chart, graph, etc. not otherwise excluded below is subject to the 20-page limitation. The proposal should be submitted electronically and the software must be compatible with Microsoft office. The Appendix (which includes the CVs of personnel and letters of commitment) is excluded from the page limitation. All other parts of the technical proposal are included in the 20 page limit.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

i) Mark the title page with the following legend:

This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

ii) Mark each sheet of data the Applicant wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restrictions on the title page of this application."

Applicants should study the evaluation criteria and organize the proposal according to the outline below:

The technical application shall include: 1) a cover page; 2) an executive summary; 3) a technical proposal; 4) institutional capacity and past experience; and 5) annexes (resumes, letters of commitment). Page limitations for each section are specified below:

Not included in the 20-page limit of the Technical Application are the following (with no page limit on the following unless otherwise stated):

- Cover page (not to exceed one page)
- Table of contents
- Abbreviation list
- Executive summary (not to exceed two pages)
- Past performance dividers
- Attachments that contain biographical information (i.e., resumes and other documentation) for proposed key personnel
- Management structure/organizational chart
- Letters of commitment
- List of key personnel
- Gender analysis (not to exceed one page)
- Environmental requirements

a. Cover Page (does not count against the 20-page limit)

The cover page shall not exceed one page and must include the following information:

- Name and address of organization(s) involved in the proposed application with the lead or prime Applicant clearly identified
- Type of institution
- Please describe how the institution meets the requirements under the definition in Section II - Eligibility Information

- Lead and alternate point of contact for the prime Applicant (contact name, title or position with the institution/organization, address, telephone number, email address, and fax numbers).
- Signature of authorized representative of the Applicant
- Point of contact, hereafter referred to as the individual with the authority to negotiate and legally bind and sign on behalf of the Applicant. The agent's name (both typed and his/her signature), title or position in the organization, email and address, telephone and fax numbers should be included.

b. **Executive Summary** (does not count against the 20-page limit)

A maximum two-page brief description of proposed activities, goals, purposes, working relationships, method(s) of facilitation, and experience. Briefly describe technical and managerial resources of your institution/organization. Describe how the overall project will be managed.

c. **Technical Proposal**

The Program Description will contain the main parts of the technical application and shall include the following sections:

1) Technical Approach

USAID requires the Applicant to be a facilitator in the implementation of the CAS project. The Applicant's technical approach must detail, at a minimum, the following:

- how Applicant will conduct a competition among U.S. universities for selection of U.S. university partners;
- process for administration of grants to Pakistani and American universities, including what benchmarks will be set and how, process for determining if benchmarks have been met, and how grants will be monitored;
- process to facilitate connections among CAS universities and how it will facilitate CAS university networking with other Pakistani universities with similar technical programs;
- process of oversight and monitoring and in what areas;
- how Applicant will provide technical assistance needed to the Pakistani universities and HEC
- how CAS project lessons learned, sector relevant policy recommendations by CAS and research findings will be disseminated;
- how Applicant will build capacity of HEC and CAS;
- how Applicant views the division of labor between the U.S. partner universities and the Applicant for technical support to the CAS;

- how Applicant will facilitate a cohesive CAS project that maintains an overall vision and approach, rather than 3-4 separate "CAS projects;" and
- How Applicant will ensure that the CAS project and the Agency's higher education priorities are closely matched with and fully integrated into the Agency's broader efforts with respect to establishing stronger relationships with the U.S. university community, key bureaus and offices, and USAID Pakistan. In practical terms, this means detailing how the CAS project and the Higher Education Solutions Network, and eventually the planned National Institute for Development, will be linked.

Applicants should articulate a technical approach that encourages innovative and effective solutions to practical problems, including research proposals as well as effective ways to engage the private sector and solicit funding from the private sector, foundations and other legitimate non-GOP or non-donor sources.

USAID expects the activities, plans, outputs and outcomes of this project to be an integral part of HEC's strategic plan and that HEC and the CAS universities will have ownership of the project. For this project to succeed and be sustainable it must be Pakistan's project. Applicants must show how they intend to ensure that project ownership.

Flexibility of Scale**:** The USAID/Pakistan education portfolio is implemented in a context of high political visibility, rapidly shifting and evolving "political contexts" both in the U.S. and in Pakistan, and considerable pressure to deliver timely, sustainable results. Education is one of the priorities of U.S. foreign assistance to Pakistan. Program budgets ebb and flow in response to these pressures. As a result, the Applicant must implement the activity with a considerable degree of flexibility, while demonstrating a definite ability to achieve targeted results, as approved.

2) Implementation Plan

The Applicant should include all factors it deems important for the project's success. The implementation plan must include a Gantt chart that details activities over the life of the project accompanied by a quarter by quarter timeline for activity achievement.

Mobilization plan activities should be included in the Gantt chart. The plan should have very detailed activities in Year One with the following project years in sufficient detail to be able to understand the Applicant's implementation goals and processes.

Applicants must describe in some depth how they will divide responsibilities between the Applicant and the selected U.S. partner universities as well as how collaboration among all entities, including USAID and HEC, will be assured.

Applicants are expected to propose activities with defined milestones and targets to achieve all of the Program Description prescribed outputs. USAID encourages

Applicants to offer creative ideas as to how results can be better achieved, benefits can be increased and/or costs reduced by undertaking activities through linked or integrated approaches.

3) Mobilization and Quick Start Activities

The Applicant shall fully mobilize personnel and offices in-country within 30 days of CA award. Applicants will identify quick start activities in the mobilization plan section of their application. The mobilization plan should include a Gantt chart. Activities in the mobilization plan should be high priority and can begin even while the work plan is being developed. Special attention should be given to the CAS assessment and planning activities. Quick start activities may commence prior to work plan approval with written concurrence of the AOR. The following are examples of substantive start-up activities that could be undertaken immediately:

1. Meetings and workshops with CAS universities for "self" assessment, strategic planning and work planning purposes;

2. Drafting and advertisement of RFA for U.S. university partners;

3. Study tours and conferences for CAS faculty and officials to professional conferences on relevant issues and potential U.S. partner universities;

4. National and regional forums and workshops to discuss issues related to the development of the CAS and sector issues that bring together the various stakeholders;

4) Grants and Sub-Cooperative Agreements

USAID is committed to using local service providers to the greatest extent possible when implementing CAS activities. To achieve this goal, as well as other competitive improvements outlined in the project components, the Recipient shall submit a manual that details the operations of any program for grants and sub-cooperative agreements. The operations manual shall detail the selection criteria for awards and the process for allocating the grants and sub-cooperative agreements, management oversight and approval process, procurement procedures, and M&E mechanisms. The operations manual is due within 60 calendar days following approval of the final first-year annual implementation plan and is subject to the approval of the Agreement Officer.

5) Performance Management Plan

USAID's technical offices in the relevant sectors, USAID's Education Office and the HEC will annually review progress of the centers for advanced studies in food security/agriculture, energy and Water in conjunction with ministries responsible for food security, water and energy and industry stakeholders. In addition, periodic third-party monitoring and evaluation will be conducted by the mission's independent monitoring and evaluation contractor.

The Applicant will submit a draft PMP which describes the approach to monitoring and evaluation that the Applicant will use and why this approach is appropriate. Indicate the process by which benchmarks (standards by which an activity can be measured or judged) and targets will be developed and how monitoring processes and results will be used to inform project management decisions. Indicate ways in which impact will be evaluated on an ongoing basis. Include a strategy for achieving long-term development impact through intermediate results and benchmarks. These benchmarks may be general in the application, but should serve as a framework for final specific indicators and benchmarks that will be agreed upon subsequently.

6) Organizational Capability and Management Plan

Applicants should provide a clear description of their internal capabilities/resources and relevant work experience/history to demonstrate the capacity to successfully manage the proposed project:

1. Explain the core technical capacities/resources and institutional support that the Applicant offers and explain the Applicant's financial control system.
2. Provide a brief description of the Applicant's areas of expertise and particular capacities in implementing the requirements of this RFA.
3. Describe the organizational capabilities and expertise of any proposed sub-Recipients, if applicable.

7) Key Personnel

1. Describe each proposed key personnel member's role, technical expertise and estimated time (level of effort). In addition, list non-key personnel involved on a full or part-time basis and level of effort.
2. Provide, as attachments, curriculum vitae and other supporting documentation for proposed key personnel indicated in the application. Provide letters of commitment to from proposed key personnel
3. Explain the staffing model and specify the composition and organizational structure.
4. Key personnel fill positions deemed essential for the successful implementation of the award and should have the relevant technical and managerial experience required for the position. Key personnel will be interacting with high level officials from HEC as well as universities and should have appropriate credentials and experience for such relationships.
5. Applicant may propose other "non-key" personnel positions if they choose. For each additional "non-key" personnel proposed, Applicant should provide a

proposed short job description. Describe how the proposed staff meet required qualifications and provide a clear description of how the program's goal, objectives and tasks will be met under the direction of these personnel. Job descriptions may be included as an annex and do not count toward the technical proposal page limit.

d. Past Performance Information (not included in the page limit)

Applicants must include a list of the Applicant's (prime) and their implementing partners' contracts, grants, or cooperative agreements involving similar or related programs over the past three years, to include the location(s), name and current telephone number and/or e-mail address of at least one person knowledgeable of the Applicant's work on each such program, award numbers for each program (if available), and a brief description of the work performed.

It is recommended that the Applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested. USAID reserves the right to obtain past performance information from other sources including those not named in the application. The technical evaluation team will review all applications and may engage the Applicant for clarifications or further information as needed.

Note: A past contract, grant, or cooperative agreement is not a prerequisite to apply and scoring of the application will not be affected, positively or negatively, simply by the fact that the Applicant has or has not been a prior Recipient of an award.

e. Gender Analysis (not more than 1 page - not included in the page limit)

The identification of specific gender equality and women's empowerment objectives in programming and project design is based on the findings of gender analysis, which is mandated by the ADS 201.3.9.3. Applicants must briefly describe how gender norms and constraints in the implementation context will affect the project and how the project is likely to reduce or exacerbate existing gender gaps. For instance, will men and women have equal access to participate in the project or activity? Will gender awareness training be necessary to ensure that husbands, families, and communities support women's participation in the project? The gender analysis should also identify potential adverse impacts and/or risks of gender-based exclusion that could result from planned activities, such as displacing women from access to resources or assets; increasing the unpaid work or caregiver burden of women relative to men; or increasing the risk of gender-based violence, including sexual exploitation or human trafficking, sexually transmitted diseases, and HIV/AIDS.

f. **Environmental Requirements** (**not more than 1 page: not included in the page limit)**

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. *Respondent* environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this *RFA.*

An Initial Environmental Examination (IEE) has been approved for this project. The IEE covers activities expected to be implemented under this Cooperative Agreement. USAID has determined that a **Negative Determination with conditions** applies to one or more of the 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. The Applicant shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

As part of its initial implementation plan, and all annual implementation plans thereafter, the Recipient, in collaboration with the USAID AOR 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.

Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the Recipient shall prepare an EMMP or M&M Plan describing how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

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.

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.

g. **Supporting Materials (not included in the page limit):**

The Applicant must submit the supporting materials listed below:

1. Organizational Chart - An organizational chart with the names and positions of those who will be involved in implementing the project.
2. If the Applicant has established a consortium or another legal relationship among its partners; the Cost/Business Application will include a copy of the legal relationship between the parties. The application should include a full description of the relationship between the Applicants including identification of the prime Applicant serving as point of contact for the agreement administration, identification of the Applicant that will have accounting responsibility, and how the agreement effort will be allocated
3. Letter of Commitment Intent - Letter of intent from any proposed consortium member (s) and details as to the legal and financial agreement and relationship between the members and the recognized lead in the consortium.
4. Attachments - Institutional and individual capabilities and supporting information. (Be concise).

h. Security Plan

The Applicant shall submit a Security Plan and budget as a part of their proposal. The Security Plan shall be based on a credible threat analysis and risk assessment. The plan shall provide a coherent, integrated security plan, which demonstrates that the applicant has undertaken a thoughtful review of their security needs and includes analysis of the various elements of a security system showing how threats will be mitigated. The security budget shall delineate and justify for reasonableness all costs. The security budget shall be complete and include comprehensive budget notes. The Security Plan and budget shall also include a point of contact to answer questions or provide clarifications regarding security throughout the life of the program. The applicant is encouraged to acquire professional advice from an expert of its choosing to assist in establishing an overall security plan/system. The security plan accompanied by the budget will be reviewed together with the technical and cost proposals and it needs to demonstrate that the security needs to successfully implement the program description as presented in the applicant's technical approach have been addressed/considered.

A sample format for Initial Security Plan is included in this RFA, Annex D

IV.3.Preparation Guidelines for Cost Proposal

The Cost/Business Application must be submitted **separately** from the technical application. The Cost/Business Application will be evaluated in accordance with Section V of this RFA.

The following sections describe the documentation that Applicants must submit to USAID. While there is no page limit to the Cost/Business Application, Applicants are encouraged to be as concise as possible, but still provide the necessary details.

The Cost/Business Application shall include the following:

a. **Part I – SF-424 Package**

As indicated in Section IV.2 of this RFA, the Applicant shall submit the following:

- SF-424, Application for Federal Assistance
- SF-424A, Budget Information, Non-construction Programs, and
- SF424B, Assurances – Non-construction Programs

b. Part II – Certifications, Assurances, and Other Statements of Applicant/Recipient

This part of the application should include the "Certifications, Assurances, and Other Statements of Applicant/Recipient" described in Section VIII of this RFA.

c. Part III - Detailed Budget Breakdown (Prime Applicant)

The Applicant shall provide a detailed budget breakdown for each year of the program and a summary budget for the full period of performance not to exceed five years. The budget shall include a subtotal for each budget line item and the total estimated amount and must not exceed the amount specified in Section VI.1 of this RFA. The budget shall contain a separate column for each source of funds/contributions (i.e., USAID, non-federal, and other federal). The budget must provide a breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.

The electronic version of the budget must be provided in an **unprotected** Microsoft Excel format. The budget should be provided in Microsoft Excel, with the narrative and budget notes provided in Microsoft Word or Adobe Acrobat (pdf), unless there are formulas that are included. In that case, please provide all formulas in Microsoft Excel. Adobe Acrobat files for tables will not be accepted. Data shall be submitted in Microsoft Excel format with full access to all cells, formulas, spreadsheets, and workbooks. No hidden information, cells, formulas, spreadsheets will be permitted. Information referring to cells that are not accessible will not be evaluated. Budget narratives shall be provided in Microsoft Word or PDF format.

The detailed budget shall follow the budget line items set forth below, as applicable:

1) **Budget Line Items**:
   A. Personnel/Salaries and Wages
   B. Fringe Benefits
   C. Travel, Transportation and Per Diem
   D. Overseas Allowances
   E. Equipment
   F. Supplies
   G. Contractual
   H. Training
   I. Other Direct Costs
   J. Indirect Costs
   TOTAL

2) Direct Salaries and Wages

A detailed indication of level of effort, including the position titles, names of proposed individuals to fill each position (if known), number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total direct salaries and wages. Anticipated backfill, overtime/premium pay, and salary increases during the term of the cooperative agreement may be included, but the percentage of increase and the anticipated date(s) of increase must be specified.

3) Fringe Benefits

Fringe benefits, if not included in direct labor or indirect costs, shall be shown as a percentage of salaries, and shall indicate the individuals to whom the fringe benefit rate(s) apply, the salary of each individual, the total fringe benefit costs for each individual, and the total fringe benefits.

Unless the negotiated indirect cost rate agreement (see Section IV.10 below) specifies the fringe benefit rate(s), the proposed rate(s) shall be supported by a detailed breakdown comprised of all items of fringe benefits (*e.g.*, unemployment insurance, retirement, workers' compensation, health and life insurance, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

4) Travel, Transportation, and Per Diem

Estimated travel and transportation costs shall be in accordance with the standard provisions entitled "International Air Travel and Transportation" and "Ocean Shipment of Goods."

The budget shall specify, for each traveler, the itinerary (in terms of locations, and, if possible, dates), the estimated airfares, any transportation costs (*e.g.*, excess baggage, unaccompanied baggage) – including the weights, mode of transportation [air, vessel], and unit prices – and the subtotal of all travel and transportation costs.

Estimated lodging and subsistence costs must be in accordance with the Applicant's established policies and practices which are consistently applied; however, the U.S. Government's per diem rates available on the internet at http://aoprals.state.gov/web920/per_diem.asp are used as the test of reasonableness and, if the Applicant does not have established policies and practices, the U.S. Government per diem rates shall be used. Specify, for each traveler and for each trip, the location(s) (departure point and destination), the number of days in each location, the daily rate for each location, and the total lodging and subsistence costs. The lodging and subsistence costs must be consistent with the travel itinerary and the level of effort.

For miscellaneous travel expenses, such as ground transportation/taxis, airport taxes/transfers, or in-country travel, the basis for the estimate must be indicated, rather than a lump-sum amount. For example, ground transportation/taxis might be $100, based on 2 round-trips @ $50; airport taxes/transfers might be $40, based on 2 round-trips @ $20; and in-country travel might be $500, based on 20 days @ $25.

The budget must distinguish between domestic (U.S.) and international travel. The budget shall also include the total travel, transportation, and per diem costs.

5) Overseas Allowances

Overseas allowances, if any, (such as Danger Pay or Post Differential, but excluding per diem and shipping allowances, which should be budgeted under "Travel, Transportation, and Per Diem") shall be in accordance with the Applicant's established policies and practices that are consistently applied. The *Standardized Regulations (Government Civilians, Foreign Areas)* will be used as a test of reasonableness for overseas allowances. Each type of allowance should be separately identified.

6) Nonexpendable Equipment

This part of the budget will include nonexpendable equipment and expendable supplies/materials proposed to be purchased by the Applicant. The detailed budget breakdown for these costs shall include the types and quantities of equipment and materials/supplies to be purchased, the unit prices, and the total costs.

7) Supplies

This part of the budget will include expendable supplies/materials proposed by the Applicant. The detailed budget breakdown for these costs shall include the types and quantities of equipment and materials/supplies to be purchased, the unit prices, and the total costs.

8) Contractual

a. Consultants

The budget must specify the position title(s), name(s) of proposed individual(s) to fill the position(s), if known, number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total consultant costs.

b. Sub-agreements/(Sub)contracts

The Applicant's budget shall include a breakdown of all costs for each sub-agreement/(sub)contract, and identify the sub-Recipient/sub-contractor, if known. The lump-sum(s) must be consistent with the detailed sub-Recipient/sub-contractor budgets described in Section IV. The Cost/Business Application must indicate whether the instrument will be a (sub)contract or sub-agreement (see ADS-303 for a discussion of the difference between acquisition ([sub]contracts) and assistance (sub-agreements). (Sub) contracts are subject to 22 CFR 226.40-49, and the standard provision entitled "USAID Eligibility Rules for Goods and Services." Sub-agreements are subject to the standard provision entitled "Sub-agreements." Available on the internet at: http://www.usaid.gov/policy/ads/300/304.pdf.

9) Other Direct Costs (ODCs)

ODCs include costs such as communications and postage, passports/visas, medical exams/inoculations (for international travel), insurance (extra insurance such as medical evacuation for international travel, tort liability, workers compensation, etc.), expendable supplies and materials (as distinct from nonexpendable equipment), report preparation/reproduction, etc. Again, breakdown of all anticipated other direct costs (i.e. the amount, type, and unit cost) and the basis for each estimate should be indicated.

For example, communications costs might be $600, based on 12 months at $50. Report reproduction might be $40, based on 4 reports of 100 pages each @ $0.10 per page. Expendable supplies and materials must indicate the types of supplies, the quantity of each, the unit price for each, and total costs.

10) Indirect Costs

Estimated indirect costs shall be in accordance with the standard provisions entitled “Negotiated Indirect Cost Rates – Predetermined,” “Negotiated Indirect Cost Rates – Provisional (Nonprofits),” or “Negotiated Indirect Cost Rates – Provisional (For-Profits),” as applicable.

The budget shall be structured in such a way as to permit easy identification and application of on-site and off-site, if applicable, the base to which the rate(s) is (are) applied, and the Applicant’s fiscal year (e.g., October 1 through September 30).

To substantiate the rate(s) and the base(s) of application, the Applicant must submit a copy of its current negotiated indirect cost rate agreement Negotiated Indirect Cost Rate Agreement (NICRA), signed by the cognizant U.S. Government audit agency (see Section IV.10) below). The Applicant shall also provide the name and address of the cognizant U.S. Government Audit Agency, and the name and telephone number of the cognizant auditor, if other than USAID. If the Applicant does not have a cognizant U.S. Government Audit Agency and/or NICRA, the Applicant must submit sufficient information to allow USAID to determine the reasonableness of the rates without a full-scale pre-award audit, *e.g.*, audited financial statements for the last two complete years and the current year to date (or such lesser period of time if the Applicant is a newly-formed organization). The financial statements should include the total costs of goods and services sold, including a listing of the various indirect administrative costs, and be supplemented by information on the Applicant's customary indirect cost allocation method, together with supporting computations of the basis for the indirect cost rates proposed (*e.g.*, a breakdown of allocation bases and indirect cost pools, the method of determining the rate, annual financial statements, etc.).

Unless addressed in the NICRA, the Applicant must, if applicable, describe when the on-site vs. off-site rates are applied.

If the Applicant proposes to charge less than its full indirect cost rate to the Cooperative Agreement, or proposes not to charge indirect costs, the Applicant will still incur indirect costs at the full rate. In such circumstances, the difference between the rate to be charged to the cooperative agreement and the Applicant's full indirect cost rate should be reflected as a matching contribution.

11) Branding Strategy and Marking Plan

Applicants should also include in the budget all costs associated with branding, such as press conferences, media and promotional materials, photography, site visits, success stories; and all costs associated with marking, such as plaques, banners, signs, etc.

12) Budget Narrative

The budget narrative justifies proposed expenses and explains how costs were estimated. Applicants should provide their rationale for cost development, such as the methodology and assumptions used to determine individual costs, i.e., actual current costs incurred, costs obtained through tenders or bids, catalog prices, or published salary tables. A thorough budget narrative will expedite the Cost/Business Application review and prevent Applicants from having to provide further justifications following application submission. *For ease of review, budget narratives should follow the order of line items in the detailed budget (top to bottom).*

Note: The Agreement Officer may request additional detailed budget information, following notification to an Applicant that it is under consideration for an award. If necessary, the Agreement Officer may conduct discussions to verify cost data, evaluate specific elements of costs and examine data to determine the necessity, reasonableness and allocation of the costs reflected in the budget and their allowability pursuant to the applicable cost principles.

d. Part IV – Sub-Recipient/Sub-contractor Budgets

Detailed budget breakdowns for each sub-Recipient/sub-contractor shall be presented. Sub-Recipient/sub-contractor budgets shall not be intermingled. The first page shall be a summary budget, following the same budget format and line items as are set forth in Section IV, for the full term of the sub-agreement/sub-contract. Following the summary budget, a detailed budget breakdown for each year shall be presented in accordance with the instructions provided in IV (for the prime Applicant). Explanatory budget notes must also be provided. Each page shall have the year and the sub-Recipient's/sub-contractor's name (if known) clearly marked, and be signed and dated by an authorized representative of the sub-Recipient/sub-contractor if the specific sub-Recipient/sub-contractor is a key member of the Applicant's proposed implementation team. A tab or colored divider page shall separate each sub-Recipient's/sub-contractor's detailed budget breakdown.

e. Part V - Negotiated Indirect Cost Rate Agreement

a. If applicable, the application should include a copy of the Applicant's (and each sub-Recipient's and sub-contractor's) most recent NICRA from the cognizant U.S. Government audit agency, and the name, address, and telephone number of the auditor.

b. Applicants who do not currently have a NICRA from their cognizant U.S. Government audit agency shall submit the following information:

- Copies of the Applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- Projected budget, cash flow and organizational chart; and
- Copy of the organization's accounting manual.

f. Part VI- Self-Certification (If Applicable)

If the Applicant has self-certified its policies to USAID/Washington, M/OAA/CAM/OCC, (M/OAA formerly known as M/OP) the Applicant should submit a copy of such self-certification in this part of the application. Further information may be found at http://www.usaid.gov/policy/ads/300/30359s1.pdf.

g. Part VII – Evidence of Responsibility

The Agreement Officer may require Applicants to submit sufficient evidence of responsibility for the Agreement Officer to make an affirmative determination of responsibility. The following criteria are used by USAID in determining an Applicant's "responsibility:"

(1) Adequacy of Applicant's Financial and Risk Control Systems.
(2) Adequacy of the Applicant's Financial Resources for Program Performance.
(3) Applicant's Ability to Meet Award Conditions:

> (A) Compliance of Applicant's Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28.
> (B) Compliance of Applicant's System of Reports and Records with 22 CFR 226.50-53.
> (C) Compliance of Applicant's Internal Control Systems with Applicable USG Cost Principles.
> (i) Internal Controls.
> (ii) Personnel Policy is Reasonable under Applicable USG Cost Principles.
> (iii) Travel Policy is Reasonable under Applicable USG Cost Principles and the U.S. Department of State's *Standardized Regulations (Government Civilians, Foreign Areas)* (http://aoprals.state.gov/), and Complies with Fly America Requirements (D) Compliance of Applicant's Property Management System with 22 CFR 226.30-37.
> (D) Compliance of Applicant's Sub-Award Administration and Monitoring System with OMB Circular A-133 (U.S. NGOs) or the USAID Inspector-General's *Guidelines for Financial Audits Contracted by Foreign Recipients* (http://www.usaid.gov/policy/ads/500/591maa.pdf) for non-U.S. NGOs.
> (E) Compliance of Applicant's Purchasing System/Contracting Procedures with 22 CFR 226.40-49.
> (F) Applicant's Absorptive Capacity Given Other Existing and Potential Work Commitments.

(4) Satisfactory Record of Performance by Applicant.
(5) Satisfactory Record of Business Integrity by Applicant.
(6) Applicant is Otherwise Qualified to Receive an Award under Applicable Laws and Regulations (*e.g.*, Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

h. Part VIII – Survey on Ensuring Equal Opportunity for Applicants

Executive Order 13279 of December 12, 2002, *Equal Protection of the Laws for Faith-Based and Community Organizations,* provides that, in formulating and implementing policies that have implications for faith-based and community organizations, agencies that administer social service programs supported with Federal financial assistance shall ensure equal protection and opportunity for faith-based and other community organizations.

The Executive Order also requires select Federal agencies, including USAID, to collect data regarding the participation of faith-based and community organizations in social service programs that receive Federal financed assistance. A "*Survey on Ensuring Equal Opportunity for Applicants*" has been approved by the U.S. Office of Management and Budget (OMB) for this purpose.

The Applicant's completion of the survey is **voluntary**, and is not a requirement of this RFA. The absence of a completed survey in an application will not be a basis upon which the application is determined to be incomplete or non-responsive. The information collected through the survey is intended for data collection purposes only.

i. IX. Branding Strategy and Marking Plan

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful Applicant(s) will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before an award will be issued by USAID. These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 22 CFR 226.91 and the references therein. The apparently successful Applicant(s) proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. In contrast to exceptions to marking requirements, waivers based on circumstances in the host country, if applicable, must be approved by the Mission Director/Manager or other USAID Principal Officers, see 22 CFR 226.91(j). The Agreement Officer is responsible for evaluating and approving the Branding Strategy and Marking Plan, including any request for exceptions of the apparently successful Applicant consistent with the provisions "Branding Strategy," "Marking Plan - Assistance," and "Marking Under USAID-funded Assistance Instruments" as contained in AAPD 05-11 and in accordance with 22 CFR 226.91. No award will be made without a USAID approved "Branding Strategy and Marking Plan".

Please note that Applicants are encouraged to submit their Branding Strategy and Marking Plan with the Application, but are not required to do so. See also Annex C of this RFA.

SECTION V - EVALUATION CRITERIA

V.1.Selection Methodology

V.1.1.General

USAID intends to award single Cooperative Agreement as a result of this solicitation. However, USAID reserves the right to make more than one award if determined to be in the best interest of the Government. The Government may reject any or all applications if such action is in the Government's interest. The Government may waive informalities and minor irregularities in applications received.

V.1.2.Tradeoff Analysis and Best Value Determination

a. In accordance with Section M of this Solicitation, award will be made by the Agreement Officer to the responsible Applicant whose application, conforming to the ***Solicitation*** and considering the below evaluation criteria, represent(s) the ***best overall value*** to the U. S. Government. The evaluation criteria will be used by the Agreement Officer as a guide in determining which application (s) will present the ***best value*** to the Government. The tradeoff method will be utilized under this procurement. "Best value" is defined as the offer that results in the most advantageous solution for the Government, in consideration of technical, cost, and other factors.

b. The Government may award a Cooperative Agreement without discussions with Applicants.. Applicant's initial applications should present its best effort and best terms from a cost or price and technical standpoint. The Government reserves the right to conduct discussions if the Agreement Officer determines them to be necessary.

c. Although technical rankings are significantly more important than cost factors, the closer the technical rankings, the more important cost considerations become. The Contracting Officer may determine what a higher ranking based on technical criteria might mean in performance and what it would cost the U.S. Government to take advantage of it. Conversely, if the Agreement Officer determines that competing cost proposals are essentially equal, technical rankings may become a determining factor in the awardee's selection.

d. Each technical proposal will be evaluated qualitatively and categorized by the amount of points earned using the point guide below.

e. Best Value Assessment - Awards will be made on the basis of Applicant's proposals being the most advantageous to the Government price and other factors considered. In order to select the winning potential awardees, the USAID will rank the applications. If one Applicant has both better capability and the lower price, then that Applicant will be the better value. If one Applicant has the better capability and the higher price, then the source selection authority will decide whether the difference in capability is worth the difference in price. Prospective Applicant's are forewarned that an acceptable technical proposal with the lowest price may not be selected if award to a higher-priced proposal affords the Government a greater overall benefit.

V.2.Evaluation Criteria

A Technical Evaluation Committee (TEC) will evaluate proposals according to criteria described below. Committee members will examine the logic, feasibility and appropriateness of the technical approach, including responsiveness to cross-cutting themes, indicators and anticipated development results or impacts; quality and availability of personnel in response to stated qualifications or requirements; and several institutional factors. See the following scoring system for the evaluation factors.

	Evaluation factor	Points
1	Technical Approach and Implementation	50
2	Organizational Capability and Management Plan	30
3	Personnel	10
4	Past Performance	10
Total Number of Points		**100**

V.2.1.Technical Approach and Implementation (50 points)

This evaluation component contains three major sub-criteria: technical approach; implementation plan; and quick start mobilization plan. Technical applications will be evaluated in accordance with the following sub-criteria:

V.2.1.1.Technical Approach

The extent to which the proposed overall strategy, methodology and processes are well-reasoned, value and promote HEC and CAS university ownership, and are appropriate for achieving the CAS project's goals and objectives, as outlined in sections I Program Description.

V.2.1.2.Implementation Plan

The extent to which the activities planned their relative timing, monitoring /measurement of benchmarks and targets and division of responsibilities between U.S. universities, the Applicant and the CAS University are defined for best achievement of the CAS project's goals and objectives. The extent to which the implementation plan is realistic and appropriate in terms of timing and activities proposed.

V.2.1.3.Quick Start/Mobilization

The extent to which proposed mobilization activities support CAS universities to develop strategic frameworks and governance structures to both lay the groundwork for the centers and jumpstart activities for expeditious achievement of the CAS project's goals and objectives.

V.2.1.4. Gender Analysis
The application will be evaluated on the extent to which it demonstrates an understanding of how gender constraints and norms in the implementation context will affect the project approach and implementation, as well as how the project will change gender norms and empower women. It will also be evaluated on the extent to which opportunities to enhance women's participation and leadership is incorporated into technical approach, implementation, benchmarks and targets, and monitoring and evaluation of indicators.

V.2.2.Organizational Capability and Management Plan (30)
The application will be evaluated on the appropriateness, clarity and logic of the approach to supporting, facilitating, administratively managing and monitoring the development and operation of the CAS and the working relationship among the CAS, their U.S. partner universities, industry, government and other CAS stakeholders.

V.2.2.1.Organizational Capability
The application will be evaluated on is demonstration of the Applicant's ability to implement major aspects of this RFA, for example, ability to reach the widest array of U.S. universities and colleges through a solicitation of applications for U.S. partner universities; grants administration; financial management; procurement; conference/workshop facilitation; logistics of international travel and exchange programs.

V.2.2.2.Management Plan
The extent to which the Applicant clearly demonstrates that the organizational structure proposed both in-country and with home office support, including a clear articulation of roles and responsibilities is the best mix to successfully implement this project. The extent to which the initial performance management plan contains reasonable, measurable indicators and targets and outlines a system for adapting to changes in a dynamic environment.

V.2.3.Personnel (10 points)

V.2.3.1. The application will be evaluated on the proposed staffing plan.

V.2.3.2. The proposed key personnel will be evaluated on their relevant qualifications to include:

V.2.3.2.1. Possession of required technical leadership experience requisite to provide vision, creativity, and interpersonal skills to work together with high level HEC and university officials and professors in a productive, respectful manner to fulfill the goals of this project, including appropriate academic credentials, ability to understand academia, government and the private sector, as well as experience in effectively monitoring and modifying programs.

V.2.3.2.2. Possession of required experience requisite to oversee the administrative, procurement, financial, grants administration and logistical aspects of this project as described in this RFA.

V.2.4. Past Performance (10 points)

The application will be evaluated on the extent to which the Applicant's past performance indicates the potential for success in this project. The following factors will be taken into account:

V.2.4.1. The Applicant's prior experience and success in implementing, managing and evaluating similar activities;

V.2.4.2. The Applicant's record of collaborating closely with various levels of developing country institutions and/or other public and/or private sector partners;

V.2.4.3. The Applicant's prior experience with complex multidisciplinary programs, their creation, implementation, management, and monitoring and evaluation; and

V.2.4.4. The Applicant's institutional administrative and technical support that are available to the project.

V.2.5.Cost

Cost Sharing. Cost sharing will be evaluated as to whether the proposed level meets the requirements of the solicitation, on the level of financial participation proposed and the added value it represents to the program.

The application will also be evaluated on the extent to which it demonstrates cost sharing from the Applicant and leverage from external resources to make the proposed activities sustainable.

[Note: Applications that do not present realistic costs may risk not being considered for award.]

Cost proposal will not be scored these will be considered in making a best value determination.

a. Costs proposals will not be assigned a numerical score, but will be evaluated for cost realism, completeness, reasonableness, and competitiveness.
b. Cost realism is an assessment of accuracy with which proposed costs represent the most probable cost of performance, within each Applicant's technical and management approach. A cost realism evaluation shall be performed as part of the evaluation process: (a) to verify the Applicant's understanding of the requirements; (b) to assess the degree to which the Cost Proposal accurately reflect the approaches and/or risk assessments made in the technical and management approach as well as the risk that the Applicant will not provide the services for the costs proposed; and (c) to assess the degree to which the costs included in the Cost Proposals accurately represent the work effort included in the respective Technical Proposals.
c. The results of the cost realism analysis will be used as part of the Agency's best value/tradeoff analysis. Although technical evaluation criteria are significantly more important than cost, the closer the technical evaluation scores of the various proposals are to one another, the more

important cost considerations will become. Therefore, the evaluation of costs proposed may become a determinant factor in making award.

V.2.6.Technical versus Cost Considerations

For this RFA, the overall merit of the technical application is more important than that of the Cost/Business application.

V.2.7. Review and Selection Process

Technical applications will be evaluated in accordance with the evaluation criteria set forth above by a technical evaluation committee (TEC) comprised of USAID employees and external technical experts.

Cost/Business applications will be evaluated by the Agreement Officer on cost effectiveness and cost realism analysis.

An award will be made to the responsible Applicant whose application offers the greatest value based on the criteria specified above. A final award decision is made by the Agreement Officer, taking into consideration the recommendations of the TEC.

Authority to obligate the Government: The Agreement Officer is the only individual who may legally commit the U.S. government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

SECTION VI – AWARD ADMINISTRATION AND INFORMATION

VI.1. Available Funding and the Award

The value of this program is estimated at USD$90-100 million, for a period of five years from the date of signing of this award.

VI.2. Anticipated Award Schedule

The period of performance for this Award is o/a February 19, 2013 – February 18, 2018.

VI.3. Duty Post

The duty post for this associate award is Islamabad, Pakistan unless so authorized by USAID/Pakistan to be located elsewhere. Travel may be required within Pakistan, the region, or elsewhere.

VI.4. USAID Management of the Activity

The Agreement Officer Representative (AOR) will serve as the primary contact between USAID and the award Recipient.

VI.5. Substantial Involvement

USAID anticipates a strong and close working relationship with the successful Applicant, as well as with the U.S. partner universities and the CAS universities. USAID anticipates that HEC will also have a close working relationship not only with the successful Applicant, but also with the U.S. partner universities and the CAS universities under this project. USAID will be substantially involved (active involvement by USAID in certain programmatic elements during implementation of the activity) in the following areas:

VI.5.1.1.approval of the Recipient's implementation/work plan by the Agreement Officer's Representative (AOR);

VI.5.1.2.approval of specified key personnel by the Agreement Officer following technical concurrence of the AOR

VI.5.1.3. approval of all sub-awards by the Agreement Officer following technical concurrence of the AOR;

VI.5.1.4.USAID, HEC and Recipient collaboration or joint participation, which includes the following:

VI.5.1.4.1.approval of the Recipient's RFA to solicit U.S. partner universities for CAS universities, including substantive technical/programmatic aspects of the RFA;

VI.5.1.4.2.collaborative involvement with HEC and CAS universities in selection of U.S. partner universities and concurrence of the sub-award Recipients and the substantive technical/programmatic provisions of the sub-awards;

VI.5.1.5.approval of a program monitoring and evaluation (M&E) plan (to the extent that such information is not included in the application) by the AOR;

VI.5.1.6.USAID monitoring (by USAID staff and USAID's independent monitoring designee) to permit direction or redirection because of the interrelationships with other projects and partners.

VI.6. Authority to Obligate the Government

The Agreement Officer is the **only** individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either an agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

VI.7. Authorized Geographic Code

The authorized geographic code (see 22 CFR 228.1) for the procurement of commodities and services for any award resulting from this RFA is 937 (the United States, the cooperating/Recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source.)

Code 937: (the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source) is the authorized USAID Principal Geographic Code for the procurement of commodities and services:

USAID maintains a list of developing countries, advanced developing countries, and prohibited sources, which is available in USAID's Automated Directives System, ADS 310. See http://www.usaid.gov/policy/ads/300/310maa.pdf.

VI.8. Title to Property

Title to property financed by USAID under the award will vest in the cooperating country, and will be subject to 22 CFR 226.30-37 (U.S. NGOs) or the standard provision entitled "Title To and Use of Property for non-U.S. NGOs.

VI.9. Notification of Selection to Applicants

VI.9.1. The authorized agent of the successful Applicant will receive electronically for acknowledgment an award document signed by the USAID Agreement Officer obligating the initial increment of funding or the full funding amount, depending on funds available. Only the Agreement Officer may provide such notification to the successful Applicant. The award document signed by the Agreement Officer is the authorizing document. An award shall be made only when the Agreement Officer makes a positive responsibility determination in accordance with ADS 303.3.9 (See Section IV) that the Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

VI.9.2. For organizations that are new to USAID or for organizations with outstanding audit findings, USAID will perform a pre-award survey to assess the Applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, Applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make an award to an organization.

VI.9.3. The award document will consist of the following:

- Cover Letter;
- Attachment 1: Schedule (to include award-specific information such as performance periods, budgets, payment provisions and reporting requirements, substantial involvement understandings, special requirements/provisions, etc.);
- Attachment 2: Program Description (with reference to the successful Applicant's initial or final revised technical application as implementing the Program Description); and
- Attachment 3: Standard Provisions (See Section 1.4 of this RFA)

VI.9.4. No costs charged to the proposed award may be incurred before receipt of either a fully executed award or a specific, written pre-award authorization from the Agreement Officer.

VI.9.4.1. The award document or pre-award authorization, if any, will be provided by the Agreement Officer to the successful Applicant in hard-copy (original or fax), or electronically.

VI.9.5. Pursuant to ADS 303.7.1.b, the Agreement Officer will electronically notify unsuccessful Applicants that they will not be considered further for an award. A debriefing may be provided if requested in accordance with ADS 303.3.7.2.

VI.10. Deviations from the Standard Provisions

No deviations to the Standard Provisions as a result of this RFA are anticipated.

VI.11. Policy and Procedure

a) USAID Automated Directive System (ADS), Chapter 303, contains USAID policy and procedures concerning "Grants and Cooperative Agreements to Non-governmental Organizations" and is available on our agency website: http://www.usaid.qov/policy/ads/300/303.pdf.

Awards will include language prohibiting transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism; the same will be required in all subcontracts and sub-awards.

b) A grant application will not be viewed as more desirable over another simply because it has a higher budget or covers more geographic areas. Programs with modest scope and budget, which are viewed as having a strong potential for positive impact and results, are preferred over more expensive, less effective programs.

It is possible that an application recommended for funding does not actually result in an award, due to insufficient availability of funding, or because an the organization is deemed not sufficiently capable of managing a USAID grant, or for other reason(s) which will be provided to the Applicant.
A decision not to fund the project may occur at any phase of the evaluation process. No program expenditures will be paid by USAID, except those covered in an award signed by the USAID Agreement Officer. USAID reserves the right to fund any or none of the applications received.

VI.12. Branding Strategy - Assistance (December 2005)

Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an apparently successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the Applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand-mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to Recipients of USAID-funded grants or cooperative agreements or other assistance awards or sub-awards.

Submission

The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the Applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

a. Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID‟s and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors]. Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

b. Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents–specifically mothers.

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?
Guidelines: For example: "Be tested for HIV-AIDS" or "Have your child inoculated." Please indicate if you also plan to incorporate USAID‟s primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the Recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.
Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

c. Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the Recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the Recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

Award Criteria
The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful

Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

VI.13. Marking Plan – Assistance (December 2005)

a. Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the Applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand-mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to Recipients of USAID funded grants, cooperative agreements, or other assistance awards or sub-awards.

Presumptive Exception exempts the Applicant from the general marking requirements for a particular USAID-funded public communication, commodity, program material or other deliverable, or a category of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

b. Submission

The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the Applicant ineligible for award of a grant or cooperative agreement. The Applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

Submission Requirements

The Marking Plan will include the following:

1. A description of the public communications, commodities, and program materials that the Recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

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

iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

2. A table specifying:

i) program deliverables that the Recipient will mark with the USAID Identity,

ii) the type of marking and what materials the Applicant will be used to mark the program deliverables with the USAID Identity, and

iii) when in the performance period the Applicant will mark the program deliverables, and where the Applicant will place the marking.

3. A table specifying:

i) what program deliverables will not be marked with the USAID Identity, and

ii) the rationale for not marking these program deliverables.

c. Presumptive Exceptions

1. The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical application and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

2. Specific guidelines for addressing each Presumptive Exception are:

i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is „intrinsically neutral." Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, product, is better positioned as an item or product produced by the cooperating country government.

iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

3. The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Agreement Officer's Technical Representative and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

d. Award Criteria

The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the Applicant's cost data submissions; with the Applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

e. Marking Under USAID-Funded Assistance Instruments (December 2005)

(1) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding Recipient offices, vehicles, and non-deliverable items for Recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or sub-agreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the Recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Sub-Recipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID sub-award, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID Recipients, and through such Recipients to sub-Recipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brand-mark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to Recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(2) Marking of Program Deliverables

1. All Recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub-award with the USAID Identity, of a size and prominence equivalent to or greater than the Recipient's, other donor's, or any other third party's identity or logo.

2**.** The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

3. The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

4. The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, Recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the Recipient is encouraged otherwise to acknowledge USAID and the American people's support.

5. The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

6. The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

7. The Agreement Officer may require marking with the USAID Identity in the event that the Recipient does not choose to mark with its own identity or logo.

8. The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

VI.12.General Instructions to Applicants

1. Applications should be kept as concise and succinct as possible. Detailed information should be presented only when required by specific RFA instructions and be appropriately organized and referenced. Applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications not conforming to this RFA may be categorized as non-responsive, thereby eliminating them from further consideration.

2. For the purposes of this RFA, the term "Applicant" is used to refer to the prime. Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

3. The Applicant should retain for its records a copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.

4. All Applicants must provide a Data Universal Numbering System (DUNS) number. A DUNS number is a 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 internet:

    1. access the web-page: http://www.dnb.com
    2. Click on D&B D-U-N-S Number
    3. Click on, "Are you a government contractor, vendor or grant Recipient?"
    4. Click on, "Click here to request your D-U-N-S Number via the web
    5. Follow the instructions

Questions with regard to DUNS numbers should be directed to D&B.

1) All Applicants must be registered in the Central Contractor Registration (CCR) unless exempt under 22 CFR 25.100. CCR is the U.S. Government 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 (http://www.ccr.gov). Organizations that apply and do not have an exception must ensure they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170, should they receive funding. See also the Standard Provisions entitled, "Central Contractor Registrations and Universal Identifier" and "Reporting Sub-awards and Executive Compensation" at:

http://www.usaid.gov/policy/ads/300/303mab.pdf (for Non-U.S. organizations)

http://www.usaid.gov/policy/ads/300/303maa.pdf (for U.S. organizations).

SECTION VII – MANDATORY STANDARD PROVISIONS AND SPECIAL PROVISIONS

All Mandatory Standard Provisions, Required as Applicable Provisions are applicable to this Award.
[Mandatory Standard Provisions for U.S. Nongovernmental recipients can be accessed through USAID's website http://www.usaid.gov/policy/ads/300/303maa.pdf.]

Additionally, the following special provisions apply.

SPECIAL AGREEMENT PROVISIONS:

SECURITY REPORTING REQUIREMENT:

a. SECURITY CONDITIONS
The Recipient must be aware of security conditions in Pakistan, and by entering into an agreement, assumes full responsibility for the safety of its employees. Prior to commencing work, the Recipient shall ensure that it has adequate procedures in place to advise its employees of situations or changed conditions that could adversely affect their security. In order to keep abreast of security conditions in Pakistan, the Recipient shall seek information from all available sources, including the USAID Pakistan EXO/Safety & Security Office (SSO), for all areas in which its employees work or travel. The Recipient acknowledges that security conditions are subject to change at any moment, that USAID cannot guarantee the accuracy of any information that it may provide to the Recipient and that USAID assumes no responsibility for the reliability of such information. The Recipient has sole responsibility for anticipating, scheduling, budgeting, receiving country clearance and securing required AOR and Agreement Officer approvals for all travel for its employees and/or his/her dependents traveling to post if allowed by the Recipient's personnel internal policies. The Recipient will also be responsible for immediately notifying USAID Pakistan and the U.S. Embassy American Citizen Services section in the event a U.S. citizen employee does not return from travel as expected or does not report to work. In the event that USAID requests the Recipient to do so, the Recipient's Chief of Party (COP) shall assume responsibility for contacting all of its employees. The Recipient shall provide to the USAID Pakistan EXO/SSO the name, current address, and current home and/or cellular telephone number of the COP and of an alternate designated employee. The Recipient will be responsible for ensuring that the information on file in the USAID Pakistan EXO/SSO is up-to-date so that in an emergency, the COP or alternate representative can be reached immediately and he/she can rapidly contact all other affected employees.

The Recipient will be requested to notify USAID/Pakistan Agreement Officer Technical Representative (AOTR) and EXO/SSO about any changes of the individual listed in the security plan as in charge of security.

Once the agreement is awarded, the Recipient shall be required to submit a list of all personnel involved in the implementation of the project, including subcontractor's personnel. The required list shall be submitted to the AOTR and EXO/SSO no later than 30 days after the start date of the agreement and must be updated every quarter after the start date of the agreement and/or if a change of personnel happens. "Recipient's personnel identifying data" is included in Section E, Annex 4.

b. SECURITY PROTOCOL

The Recipient shall develop a security plan to safeguard all project operations and to comply with all United States Government regulations and Pakistani law. The plan is to be implemented and maintained also by all subcontractors (and/or sub-grantees). The security plan will be reviewed by the Agreement Officer in consultation with USAID/Pakistan's EXO/SSO.

The plan shall include:

· Procedures for reporting and addressing security threats.
· Procedures for reporting any deaths related to the project.
· Procedures for reporting and addressing any persons missing or kidnapping incidents.
· Name and contact information of security contact person for the head office and regional office(s).
· An internal "cascade" list for communicating with staff, which should be updated/, maintained by the Recipient. The Recipient shall provide the name, address and telephone numbers of the COP and their designee to USAID as principle contacts in case of security situations/emergencies. The Recipient will be responsible for passing information to their staff.

c. LIFE SUPPORT AND SECURITY SERVICES

The Recipient will be responsible for maintaining the security of its personnel, materials and equipment. All employees of the Recipient must meet the requirements of their work-site, which may include, but not limited to background checks, security/restricted area clearances, drug-free workplace, safety training and/or any other company safety and security requirements.

The Applicant will provide USAID/Pakistan a security plan and budget for security costs as part of its application as further detailed in Section B. The Security Plan and budget shall delineate and justify for reasonableness all costs and provide a coherent, overall integrated security plan that demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes analysis of the various elements of a security system.

PAKINFO REPORTING REQUIREMENT

USAID/Pakistan utilizes a management information system (MIS), currently called PakInfo, to track activities for all mission-funded projects at the national, provincial, district, and village levels. The purpose of this database is to map the location of project implementation sites to the nearest village or geospatial coordinates, monitor the use of funds at the district and tehsil level and the performance of projects to meet timely information requirements for USAID/Pakistan and several interested parties. These interested parties are USAID/Washington, Congress, implementing partners, the Government of Pakistan (GOP), other donors, and stakeholders. This reporting process supports the bilateral agreement between the U.S. Government and GOP by sharing information on USAID/Pakistan's Mission-funded activities. The Recipient shall provide a quarterly update of information (including, but not limited to, performance results, geospatial coordinates, and photographs) on the activities under the acquisition or assistance agreement by entering this information into the USAID/Pakistan's MIS. The Recipient shall enter information via an Internet website or a Microsoft (MS) Access Database; USAID will provide the URL address or Access Database, and a user ID/password. A comprehensive user manual will be provided by USAID/Pakistan. Upon receipt of the manual, the Recipient will enter and manage the data accordingly.

[END OF MANDATORY PROVISIONS]

SECTION VIII - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

REQUIRED FORMS, CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT (MAY 2006)

I. Certifications and Assurances (**http://transition.usaid.gov/policy/ads/300/303mav.pdf**)
  1. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs
  2. Certification Regarding Lobbying
  3. Prohibition on Assistance to Drug Traffickers for Covered Countries
  4. Terrorist Financing
  5. Certification of Recipient

II. Key Individual Certification Narcotics Offenses and Drug Trafficking

III. Participant Certification Narcotics Offenses and Drug Trafficking

IV. Certification of Compliance with the Standard Provisions entitled “Condoms” and “Prohibition of the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking.”

V. Survey on Ensuring Equal Opportunity for Applicants

VI. Other Statements of Recipient
  1. Authorized Individuals
  2. Taxpayer Identification Number
  3. Contractor Identification Number – Data Universal Numbering System Number
  4. Letter of Credit Number
  5. Procurement Information
  6. Past Performance Reference
  7. Type of Organization
  8. Estimated Cost of Communication Products

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for Cooperative Agreements, the term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

1. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any

cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

2. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: 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 Part 140.

3. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

(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.treas.gov/offices/eotffc/ofac/sdn/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, Usama 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/Docs/sc/committees/1267/1267ListEng.htm.

(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://untreaty.un.org/English/Terrorism.asp); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational 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.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

4. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. ______________________________

Application No. ______________________________

Date of Application ______________________________

Name of Recipient ______________________________

Typed Name and Title ______________________________

Signature ______________________________

Date ______________________________

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: ____

Date: ____

Name: ____

Title/Position: ____

Organization: ____

Address: ____

____

Date of Birth: ____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: ____

Name: ____

Date: ____

Address: ____

____

Date of Birth: ____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140,Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."

Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:

"[Recipient's name] certifies compliance as applicable with the standard
provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy
of the Legalization or Practice of Prostitution or Sex Trafficking" included in
the referenced agreement."

RFA/APS No. ____

Application No. ____

Date of Application ____

Name of Applicant/Subgrantee ____

Typed Name and Title ______________________________

____

Signature ______________________________

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

PART VI - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: ______________________________

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

(1) Recipient's name.
(2) Recipient's address.
(3) Recipient's telephone number.
(4) Line of business.
(5) Chief executive officer/key manager.
(6) Date the organization was started.
(7) Number of people employed by the recipient.
(8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at http://www.dbisna.com/dbis/customer/custlist.htm. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: ____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: ____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

$____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION QUANTITY ESTIMATED GOODS PROBABLE GOODS PROBABLE
(Generic) UNIT COST COMPONENTS SOURCE COMPONENTS ORIGIN

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION QUANTITY ESTIMATED PROBABLE INTENDED USE
(Generic) UNIT COST SOURCE ORIGIN

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION QUANTITY ESTIMATED PROBABLE SLUPPIER NATIONALITY RATIONALE
(Generic) UNIT COST (Non-US Only) for NON-US

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of $5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share $500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic) QUANTITY ESTIMATED UNIT COST PROPOSED DISPOSITION

6. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or loc al governmental organization, [ ] a private college or university, [ ] a public college or university, [ ] an international organization, or [ ] a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as [ ] a corporation organized under the laws of ______________________________ (country), [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a nongovernmental educational institution, [ ] a governmental organization, [ ] an international organization, or [ ] a joint venture.

7. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

ANNEX A. REFERENCES

A. Applicable Regulations & References

- Mandatory Standard Provisions for U.S. Nongovernmental Recipients: **http://www.usaid.gov/policy/ads/300/303maa.pdf**

- Certifications, Assurances, and Other Statements of the Recipient **http://www.usaid.gov/policy/ads/300/303sad.pdf**

- 22 CFR 226 **http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html**

- OMB Circular A-21

  http://www.whitehouse.gov/sites/default/files/omb/assets/omb/circulars/a021/a21_2004.pdf

- OMB Circular A-110 **http://www.whitehouse.gov/omb/circulars/a110/a110.html**

- USAID Automated Directive System (ADS) Series 300 Acquisition and Assistance **http://www.usaid.gov/pubs/ads/**

- SF-424 Downloads **http://www.grants.gov/agencies/aapproved_standard_forms.jsp**

- OMB Circular A-122):

  http://www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf

- OMB Circular A-133- Audits of States, Local Governments and Non-Profit Organizations:

  http://www.whitehouse.gov/omb/circulars/index.html

  48 CFR 31.2**: https://www.acquisitions.gov/far**

- Standard Provisions for Public International Organizations: **http://www.usaid.gov/policy/ads/300/308mab.pdf**

ANNEX B. SF- 424 FORMS

SF-424, Application for Federal Assistance
SF-424A, Budget Information, Non-construction Programs
SF-424B, Assurances, Non-construction Programs

This form can be downloaded from the website: http://www.usaid.gov/forms/sf424.pdf

ANNEX "C". Templates for Branding & Marking

Branding Strategy
(Communications Plan for USAID Assistance Agreement)

Please note: all text in red Italics is only for guidance; please delete it from your final version! This text aims to give you some guidance about the plan; however, it does not aim to cover all possible situations relevant to your project. Please use it only as guidance rather than as a multiple-choice questionnaire.

Project Title:
Agreement Number:
Period of Activity:
Implementing organization:
Date:

1. Positioning

Guidance: This chapter should describe

- *which organization(s) will be referred to as the owner(s) of the project in all public communications (events, speeches, press releases, other materials) – the recipient, USAID, or both.*
- *what will be the project's name for public communications purposes; USAID's policy is that the name should be short -2-3 words maximum and NEVER an acronym. When making this decision, please consider, how you will use it and how it will be perceived among target audiences: Will it make sense? Will it be meaningful and identifiable with the purpose of the program? Convenient to use in speeches, at events, and on banners? In local languages? For example: "The USAID and [Apparently Successful Applicant] Health Project."*

In all public communications the project will be referred to as USAID's XXX project.

In local applicable languages, the project will be referred to as: *(include any relevant translations)*

2. Program Communications and Publicity

a). The primary and secondary audiences for this project or program

Guidance: Please include direct beneficiaries and any special target segments or influencers that the program will focus its work on. For example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents–specifically mothers.

b). Main Program Message

Guidance: Include the intended message(s) of the project – if you had to sum up the purpose of your project in one brief statement, addressed to its key audiences – what would it be? For example: "Girls should have equal access to education" or "Have your child inoculated."

c). Communications or program materials that will be used to explain/market the program to beneficiaries

Guidance: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth. Explain how they will be used to promote the project, at what frequency, how they will be distributed, what they will include, etc. If you know of specific events that the project will organize for various purposes, related to public communications, discuss them, including timing and other relevant details. This chapter should become the project's communication's plan for the duration of the project.

Please discuss, how you will prepare and use project staff to educate beneficiaries and other groups about the project – will you brief them about project's messages and main themes for speeches? Will you develop guidance and talking points, so that everyone is aware of what to say about the project? Will you make brochures and other materials available for distribution at meetings? Please consider this not only with regard to communicating to beneficiaries, but also promotion among host country citizens. For example, "all staff will receive training and regular updates on the details of the XXX project, its successes, talking points, as well as USAID and the American peoples' role in the development process. In addition to ensuring that all staff can speak about the project and explain USAID and the American peoples' role in the process, (recipient organization) will develop a comprehensive package of communication materials, such as success story and press release templates, banners, information packages, brochures, videos and project summaries among others."

d). Promotion of the project among host country citizens

Guidance: Please discuss how you will focus project public communications on your target audiences – within the limitations and restrictions due to the operating environment. Describe

- *a general approach that will be used for public communications about the project in the host-country*
- *which communications tools will be used to target which of the focus audiences and how. Tools may include press conferences, public events, press releases, media interviews, site visits, success stories, beneficiary testimonials, photos, PSAs, videos, websites, e-invitations, or other e-mails, Internet activities, etc.*
- *What key anticipated milestones or opportunities the project will use to generate awareness that the project is from the American people. These include, but are not limited to launching the program, announcing research findings, publishing reports or studies, spotlighting trends, highlighting success stories, featuring beneficiaries as spokespeople, marketing agricultural products or locally-produced crafts or goods,*

securing endorsements from ministry or local organizations, and communicating program impact/overall results.

- *Explain how any of the public communications materials will be disseminated.*

Sample optional table for c).and d):

Communication Product	**Start Date**	**Frequency**	**Audience**	**Dissemination**
Project Launch and Close-Out Conferences	November 1, 2006 - September, 2009	Twice	NGO Community, local government, USAID target audiences in the host country	Local media
Project Fact Sheet and Brochure	December 1, 2006	Revised annually	Government, USAID, USAID target host country audiences	Given to beneficiaries, other groups at meetings and events, included in material packages for all events
Community Project Opening Ceremonies	March 1, 2007	80 project grants	Local community, local government, media, community members	n/a
CD-ROM	January 1, 2007	Revised annually	central and local government, beneficiary communities, USAID target host country audiences	Included in material packages for all events
Success Stories	December 1, 2006	Three per quarter	NGO community, USAID	Sent to local media, included in information packages for relevant trainings and other events
Press Releases	November 1, 2006	Monthly	NGO Community, Government, USAID target	Sent to media

			audiences in the host country	
Impact Stories for USAID monthly newsletter	December 1, 2006	one story a month	NGO Community, Government, USAID, USAID target audiences in the host country	Sent to USAID
Banners, Folders, Pins, and Other Products	January 1, 2007	Ordered as necessary	USAID target audiences in the host country	Disseminated at all public events

e). **Conveying the Message "From the American People" through Public Communications**

Guidance: Please indicate how the project will incorporate the message, "This assistance is from the American people" in communications and materials directed to beneficiaries as well as to the other host country audiences.

At each public event related to the project, USAID and the support from the American people will be verbally acknowledged in the following way: (*please explain what exactly will be said*)

The project will use the USAID identity in all public communications (events and materials likewise). All public printed, video, and audio materials will also include a disclaimer (text included in the marking plan) to identify parties responsible for the contents.

f). The use of the USAID identity: the project will use guidance set in the USAID Graphic Standards Manual (http://www.usaid.gov/branding/gsm.html) related to the use of the USAID identity.

3. Acknowledgement of other organizations

Guidance: Will there be any direct involvement from a host-country government ministry or other organization? If yes, please indicate which one or ones. Are there any other groups (other than USAID!) whose logo or identity the recipient will use on program materials and related communications. Please specify how these organizations will acknowledged. For example, "when describing an activity that was implemented in cooperation with the National AIDS Center, the project will state: "the project, in cooperation with the National AIDS Center, has opened/facilitated/organized/prepared. .." Please indicate why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

Other program partners *(please identify what they are/might be)* will be mentioned in written documents that are related directly to them. Partner logos will be displayed on the right hand side of all the materials related directly to them. Local partners and relevant local government agencies will be referenced as partners and given credit in communications and promotional documents as appropriate.

4. Coordination with USAID on publicity and project promotion issues

The project will submit any press releases, information about media events, to the USAID AOTR and follow other relevant guidance set by the USAID/Pakistan.

Throughout the project implementation, (recipient organization) will provide to USAID:

a) A quarterly list of public events to be organized by the project, including approximate date, location, and audience. The project will coordinate with USAID about all planned events with press participation, press activities, press releases, as well as inclusion of USAID promotional materials for the participants, participation of USAID/USG representatives.
b) One success story every 6 months with an accompanying photograph (see item c). for specifications). The success stories will be provided in a Word Document format.
c) At least 20 photographs a year that are illustrative of project's achievements in jpeg format. The photographs will comply with a guidance provided in the USAID Graphic Standards Manual, and be at least 500kb in size each. Each photograph will have a brief explanation about its subject, and identify: the author and his/her organization, person(s) featured in the photograph, and the location where the photograph was taken.
d) Clippings of press articles that mention the project.
e) At least 2 copies of all public communications materials produced by the project. In addition, the recipient shall submit one electronic and/or one hard copy of all final documents to USAID's Development Experience Clearinghouse.
f) Once a year, the project will present to USAID an overview of the implemented publicity events and received media coverage.

In the event of changed circumstances for implementation of this Branding Strategy, (implementing organization), through its AOTR, will submit to USAID a request to modify this plan and/or other related documents, such as the Marking Plan.

Guidance:
Marking Plan
(For USAID Assistance Agreements)
Please note: all text in Italics is only for guidance; please delete it from your final version! This text aims to give you guidance about the preparation of the plan; however, it does not aim to cover all possible situations relevant to your project. Please use it only as guidance rather than as a multiple-choice questionnaire.

Project Title:
Agreement Number:
Period of Activity:

Implementing organization:
Date:

(Recipient organization) intends to co-mark deliverables and public communications under this project as outlined in this Marking Plan.

1. Marking of sub-awards: To ensure that project's sub-awards comply with USAID marking requirements, (recipient organization) will include the following marking provision in its sub-grants:

> "As a condition of the recipient of the sub-award, marking with the USAID Identity of a size of prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's, or third party is required. In event the recipient chooses not to require marking with its own identity or log with the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."

2. Disclaimer language for publications: All studies, reports, publications, web sites, and all informational and promotional products will contain the following provision:

> This study/report/Web site (specify) is made possible by the support of the American people through the United States Agency for International Development (USAID). The contents are the sole responsibility of the (name of organization) and do not necessarily reflect the views of USAID or the United States Government.

3. Marking of project deliverables and public communications

(Recipient organization) will display the USAID identity prominently on all communication products and describe the project as the USAID and (recipient organization) XXX project in the following manner:

Guidance: Explain the general approach the program will use to mark all the public communications, commodities, and program materials that will be produced as part of the assistance agreement with the USAID identity. Remember to consider and include

- *program, project, or activity sites funded by USAID, including visible infrastructure projects or activities that are physical in nature (must have temporary and permanent signs, according ADS 320)*
- *technical assistance, studies, reports, papers, websites, PSAs, audio-visual productions, and other promotional, informational, media, or communications products funded by USAID*
- *events under the project – training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities*
- *all commodities provided through the project, including those for humanitarian assistance, and all other equipment, supplies, and materials, and their export packaging, funded by USAID;*
- *any promotional materials – pens, caps, t-shirts, etc.*

Table #1: Marked deliverables and public communications

Guidance: Please

- *include and discuss marking any items relevant to your project, such as Websites, Brochures, Reports, manuals, textbooks, Events (conferences, trainings, study tours, etc), Training materials, Surveys, Promotional materials (e.g., t-shirts, pens, caps, pins, etc), PowerPoint presentations, Commodities (equipment, tools, furniture, instruments, etc-only those used for programmatic purposes), Plaques, Certificates, Press releases, Factsheets, Invitations, Documentaries, TV and radio public service announcements, Articles in the print media, Activity sites and physical infrastructure objects, and any other public communications means the project plans to use.*
- *Discuss groups of items marked the same way rather than going through each item separately;*
- *Consider if there might be some more efficient/visible ways to mark provided assistance (e.g., instead of marking every classroom table and chair with a USAID sticker, consider attaching a plaque to the room in which USAID-funded items are placed)*
- *include clear explanation where the USAID identity will be placed, on which page/location/site, etc. Similarly discuss placement of the disclaimer and any other used means of marking.*
- *attach samples of how you are planning to mark various types of documents: i.e., include a sample factsheet or a certificate, etc.*

(Recipient organization) will display the USAID identity in the following manner:

Items included in the table below are only examples, please change as applicable.

Project deliverable/ public communication	**Placement of the USAID identity**	**Notes**	**Disclaimer, text about USAID**
press releases	identity will be placed in the upper left hand side of the first page	Electronic identity to be added; press releases will start June 2007, est. monthly issuance	Text about USAID to be included in the first paragraph
brochures about the project	USAID identity will be placed in the upper left corner of the front page	June 2007; Updated annually in June	Text about USAID included as the first paragraph; disclaimer at the bottom of the back page
reports, researches, and other multiple page documents requiring a cover	the identity will be centered on the cover at the top of the page	June 2007; quarterly	The disclaimer will be included at the bottom of the first page

Training events	Banner with the USAID identity at the front of the room	June 2007; monthly	
Training materials (list titles/other details if known)	Identity on cover page, top left corner	2006-2007; monthly; total est. 30,000 copies	Disclaimer at the bottom of the front page, in italics
Renovated schools (specify est number)	A plaque by the entrance of the school		
t-shirts to promote program	On the front of the shirt, top left		

For the specific placement of the USAID identity on any printed matter, the project will use guidance set in the USAID Graphic Standards Manual, http://www.usaid.gov/branding/gsm.html .

Any items not mentioned in Tables #1 or #2 will be marked in a fashion similar to the one described in Table #1, unless they are exempt from marking by USAID regulations (i.e., business cards, items for solely project administrative use, administrative letters).

Table #2: Deliverables without marking

Guidance: There are 8 exceptions that you could claim-see 22 CFR 226.91 and ADS320.3.3.2. Please review those exceptions and consider if any deliverables or public communications under this project should not be marked with the USAID identity. If you identify such, include them into the table below.

Project deliverable	**Rationale (explain how the exception applies)**	**How will USAID assistance be acknowledged if the USAID identity is not used?**	*Estimated period/date of application*
(name the deliverable that you propose to not be marked with the USAID identity)	(identify, which exception is applicable and briefly explain, why this exception is requested)		

Table #3: Public Communications, Branding and Marking Budget

Items included in the table below are only samples, please change as applicable

item	Description	Quantity	Cost
Press conferences		5	$XXX
Photo and video materials for publicity			$XXX
Banner with the USAID identity (see attachment XX with the design)	1mx2.5m	2	$XXX
Stickers with the USAID identity (see attachment XX with the design)	Plastic, 10x20 cm	1000	$
Project brochures	Russian language	2000	$
Plaques for assisted schools (see attachment #3)	30x60cm, white plastic, English and Russian text	50	$
Total			$

5. Modifications

In the event of changed circumstances for implementation of this Marking Plan, (recipient organization), through its AOTR, will submit to USAID a request to modify this plan and/or other related documents, such as the Branding Strategy.

Attachments (please include any templates and sample designs the project will use)

ANNEX “D”. SAMPLE FORMAT FOR INITIAL SECURITY PLAN

When submitting a Security Plan, at a minimum, the Applicant shall address the following points:

1) There shall be a Threat Analysis and a Risk Assessment conducted by a competent authority, preferably a professional Security Expert. This product should cover all facets of the Applicants operations (i.e. lodging, office, transportation, operational area, etc.

- Current and previous security situation in locations mentioned in item one above (to include crime, insurgent activity, kidnappings, police and military operations, etc.) in the area(s) of project activities, the company's offices, and employee living areas
- Previous security incidents that involved the company and/or its personnel or other organizations in the vicinity previous and current threats against the company and/or its personnel

2) Location(s) of project offices and activities.

3) Period of Performance of the Agreement

4) The company's current security plan (if applicable) including perimeter security (i .e. "11' high, l' foot thick, concrete and brick wall, with razor wire on top totaling approx. 13' that surrounds the entire compound, CCTV system, 10' high metal entry/exit door manned by a 24/7 armed guard, with cabin, etc.).

5) For requests of vehicles:

- Number of vehicles requested
- Vendor that will be utilized
- Frequency of travel utilizing vehicles
- Terrain
- Driver Training Plan
- Passenger orientation and driver training plan:

(Note: Armored vehicles have different handling characteristics and drivers and perspective passengers should be trained in evasive driving techniques as well as handling the particular type of vehicle in emergency situations.

6) A cost breakdown along with comprehensive budget narrative.

7) A point of contact in case for questions or clarifications.

8) Planned methods to mitigate the threats, including evidence of an assessment or evaluation of alternative security precautions. These may include but not be limited to:

Issuance and use of two-way radios and/or other communication networks, upgrading buildings, deploying guards and/or guard force, CCTV system, or purchasing additional vehicles as recommended by security experts, assessing the manner in which the FAV is envisaged to be used in terms of safety etc.

The list above includes items to consider when preparing a comprehensive Security Plan. Please note, however, this is not an all-inclusive list; there may be additional relevant information or items to be considered. Therefore, when submitting a Security Plan, please provide all relevant and necessary information.

ANNEX "E". ADDITIONAL INFORMATION ON BACKGROUND OF HIGHER EDUCATION PROGRAMS IN PAKISTAN

Brief Overview of the Country: Pakistan emerged as an independent country on August 14, 1947, following a protracted struggle ending British rule when colonial India was partitioned into two sovereign states. Pakistan covers an area of 796,095 square kilometers and is made up of a federation of four provinces: Punjab, Sindh, Khyber Pakhtunkhwa and Balochistan, as well as the Islamabad Capital Territory and the Federally Administered Tribal Areas in the northwest, which include the Frontier Regions. The government of Pakistan exercises de facto jurisdiction over the western parts of the disputed Kashmir region, organized into the separate political entities Azad Kashmir and Gilgit–Baltistan (formerly Northern Areas). The Gilgit–Baltistan Empowerment and Self-Governance Order of 2009 assigned a province-like status to the latter, giving it self-government.

Pakistan is a country of 170 million people -- the sixth most populous country in the world, and the second largest Muslim population, in area slightly less than twice the size of California. The rural and urban population is reported to be 71.72 percent and 28.28 percent respectively, though most experts think this underestimates the real urban population. The male: female ratio is 111 to 100. The majority of the population is composed of Muslims. Religion plays a major part in the lives of Pakistan where 97% of Pakistanis are Muslim consisting of the second largest Shi'a population in the world. The majority are Sunni, with an estimated 5–20% Shi'a. Although the Muslim denominations usually coexist peacefully, sectarian violence occurs sporadically. A small minority are Hindus mostly settled in Sindh and Balochistan. Christians are widely spread throughout the country and form about 3 percent of the total population. The 1973 Constitution of Pakistan guarantees freedom of religion.

The country's main ethnic groups are Punjabi (45%), Pashtun (15%), Sindhi (14%), Sariaki (8%), Muhajirs (7.5%), and Balochi (4%). Balochi and Brauhvi are spoken in most parts of Balochistan; Pushto in the NWFP and also in north of Balochistan; Punjabi in the Punjab; and Sindhi in the province of Sindh. Seraiki is widely spoken in Multan and Bahawalpur and its adjoining areas of NWFP, Baluchistan and Sindh. Urdu is the medium of instruction in majority of the schools in the country, but English is used for higher education, particularly in scientific and technical fields and it is widely used for commercial, legal and official business.

Pakistan is predominantly an agricultural country. More than 70 percent of the civilian labor force is engaged in the agriculture sector. The major crops are wheat, rice, cotton and sugarcane. The country is self-sufficient in consumer goods such as cotton, rice, leather products, sporting goods, surgical supplies, and cutlery. Pakistan's major exports include raw cotton, cotton yarn and fabrics, rice, sporting goods and carpets.

Pakistan holds a key geostrategic location, sharing international borders with India, China, Iran, and Afghanistan, as well as a 700-mile coastline along the Arabian Sea along the Persian Gulf. With a standing army of half a million, the Pakistani government is one of very few in the world in possession of nuclear weapons—more than 100 by some estimates. Beset with serious challenges, including terrorism, religious extremism, underdevelopment, and chronic political instability, Pakistan's future is of vital importance, both regionally and globally.

A relatively new state, Pakistan is in the process of establishing itself as a nation that can cope with the pressures of globalization, which can involve massive institutional changes and fierce resistance. The blueprint for a modern state is already in place, but upheavals caused by ongoing regional rivalries, insurgency in the Afghanistan–Pakistan tribal belt, and Iran's contentious relations with the West all are contributing to an increasingly volatile regional environment. While Pakistanis repeatedly have succeeded in reverting to democratic governance after long periods of martial law, it remains to be seen whether the dominant civilian political forces in the country have the capacity to create an atmosphere that is conducive to the establishment of resilient democratic institutions.

The Status of Higher Education

Limited Access

In Pakistan, higher education enrollment rates are dismal, even when compared with other developing countries in the region. About seven percent of the college age group (17-23 yrs) is enrolled in higher education, as compared to India at 10 percent, and South Korea at 68 percent. According to national income statistics published by the Government of Pakistan (GOP), 80 percent of households in Pakistan cannot afford to send one family member to a local public university. In fact, in all statistical comparisons ranging from tertiary enrollment data and attainment rates to expenditure on higher education, Pakistan ranks among the lowest in the world.

In 2002, the GOP formed the Higher Education Commission (HEC) with a "mandate to transform institutions of higher education into world class seats of learning." HEC's mission is "to facilitate institutions of higher education to serve as engines of socio-economic development [for] Pakistan." Since its establishment, HEC developed a comprehensive strategy of reforms in higher education that specifically addresses access, equity and quality. It was established to guide higher education policy and improve the quality of public and private universities and degree awarding institutions. The establishment of HEC and its subsequent efforts to transform higher education resulted in substantial increases in funding for higher education. HEC's efforts played an important role in improving the quality of higher education in Pakistan over the last five years. It has been successful in attracting substantial amounts of funding from a variety of donors and overseas agencies.

Since 2002, enrollment has increased from 135,000 to 315,000 students with female enrollment increasing from 37 to 46 percent of all university students. According to HEC's Chairman, the future emphasis will be on "the development of universities as institutions of higher learning, increasing equitable access, improving the quality of teaching and research and stressing leadership, curriculum development as well as innovation relevant to socio-economic development."

From 2002-07, the higher education sector received record funding and witnessed unprecedented expansion. The recurring budget grew impressively from approximately $45 million in 2001-2002 to almost $243 million in 2007-08. Funding for the Development Budget grew at an astonishing rate from a mere $6.5 million in 2001-02 to $279 million in 2007-08.

In 2004, the HEC began work on the MTDF designed to spell out a strategic plan for higher education. That effort was a response to a call from the Planning Commission for a strategic plan from HEC. Overall it marked a recognition that the transformation of higher education required a clear vision and goals which would foster fundamental change and a detailed plan for implementation. As a result, the number of degree- awarding institutions increased to 135 with 74 in the public sector. The relevant age group participation increased to approximately 5.1 percent (HEC Annual Report, 2009), and 7% as reported in the 2011-15 Medium Term Development Framework II (MTDF).

In spite of unprecedented multidimensional progress, stubborn challenges in the sector persist. The 2009 National Education Policy targeted enrollment at 10 percent by 2010 (currently 7.1%) and 15 percent by 2020. These targets are, however, conditioned to the availability of resources (MTDF-II 2011-2015). The Policy also plans to identify and strengthen National Centers in areas of economic importance so that they can contribute to development and compete at the international level. All of these targets have been supported with an umbrella plan to allocate seven percent of the GDP for education with its 20 percent share going to higher education. The current allocation is 2 percent of GDP. The targets and plans are still awaiting necessary legislative and funding actions upon which implementation will depend.

Quality and Relevance of Academic Programs is a Key Constraint

There are significant challenges to ensuring the quality and relevance of the programs taught. The quality and relevance of the attained degrees and education varies significantly, and in most cases is inadequate to the needs of private and public sector employers, and the broader needs of Pakistan's social and economic development. Employer input regarding the knowledge and skill needed by prospective graduates is extremely limited and in many cases non-existent, with the result that the quality of graduates is often out of synch with what is needed in the labor market. Academic programs are often excessively theoretical and generally are neither developed nor delivered in collaboration with practitioners. Consequently, they frequently fail to help students build adequate practical knowledge or key skills in problem definition, problem solving, and critical thinking.

The Medium Term Development Framework (MTDF) focuses on building a knowledge-based economy and identified three major themes for higher education policy: access, quality (focusing at the outset on faculty and infrastructure development), and relevance to national needs. Within those themes the MTDF spelled out programs in faculty development; improved access; promoting excellence in learning and research; ensuring relevance to the economy and industrial linkages; leadership development and improved governance and management; quality enhancement including quality assessment and accreditation; and development of the physical and technical infrastructure.

By 2005-2006 the HEC was in control of higher education policy nationally and had made major strides in improving access, relevance, and the infrastructure of higher education. Quality improvement and accreditation were being put in place, new institutions were planned, and a new group of PhDs (trained at home and abroad), were beginning to return to universities, bringing new knowledge and state-of-the art training to Pakistan's universities. More than 2,000 PhD scholarships for study abroad have been awarded to Pakistani students, supported by the government and other donors, for study in doctoral programs in engineering, sciences, and other programs in countries like Austria, Britain, China, France, Germany South Korea, and the US.

HEC plans to open nine new engineering universities across the country in collaboration with Austria, France, Germany, Italy, Sweden and other countries, although there is currently some pressure to reduce the number given the effects of current economic situation. Along with expansion of access, HEC has taken several measures to improve the quality such as

- Promoting faculty development by awarding 4,500 scholarships to for Ph.D. training abroad and granted nearly 4,000 scholarships for in-country (Pakistan) Ph.D. studies. Since inception, more than 1,200 recipients returned and are serving in the sector. Within the next four years, most will be working in the sector and it is anticipated that these professors will remain in the country given special incentives. While there will always be some out migration, no major brain-drain is anticipated.

- Upgraded ICT infrastructure with the capability of accessing 3,000 digital journals provided to most public sector universities. Also, sophisticated video conferencing facilities at the universities have interlinked the institutions at home and around the world.

- Sector quality improved by putting in place a two tiered quality assurance mechanism and four accreditation councils. Also, financial aid development offices established for improving financial management and generation of funds through private sources, and leadership capacity building of top university management in governance is being carried out via foreign study tours.

- Seven pilot Offices of Research, Innovation and Commercialization (ORICs) established and research publications increased by 25 percent each year.

- More than 70 local journals have been included in Institute of Scientific Information (ISI) master list and seven journals are recognized as having a significant impact factor.

- Business incubation centers at some universities have been established to capitalize on the intellectual property and to promote university-industry linkages.

Skills and Capacities of Teaching Staff are a Key Constraint

Numerous formal and informal assessments indicate that the majority of lecturers at higher education institutions neither employ effective instructional methodologies nor use a relevant, high-quality curriculum. The problem is exacerbated by the fact that low salaries provide little incentive for faculty to invest significant time and resources to improve pedagogy or curriculum. If Pakistan's higher education institutions are going to produce graduates with the knowledge and skills needed to participate and contribute to Pakistan's economic and social development, and to succeed in learning and work, the qualifications and instructional behaviors of instructors will need to improve significantly.

GOP Roles, Priorities, and Policies for Higher Education

Pakistan recognizes that improving higher education is required for advancing national economic and social development objectives. As demonstrated in many developing countries, higher education is an important means to develop human capital and contribute to a country's economic development. Over the past two decades, tertiary education has been neglected by both the GOP and the donor community. Lack of attention and low levels of investment have resulted in limited access to higher education and poor quality and performance of public universities.

HEC has identified other challenges including poor university-industry interaction, poor university-society relationship, low quality of education, low employability of higher education graduates, lack of qualified high quality faculty for research, lack of facilities for continuous faculty and staff development, poor governance of universities, low fund generation by universities and less support of able needy students (HEMTDF-II). Added to these is the lack of appropriate teaching-learning strategies and subject compartmentalization leading to a near absence of interdisciplinary study or research. There remains a high concentration on core subject areas with negligible inclusion of the social sciences and a lack of modeling on-campus best practices for the society.

HEC has evolved to become the lynchpin for the reform and development of Pakistan's higher education sector. However, HEC itself suffers from some constraints; specifically in relation to this project, it does not have the staff to coordinate the activities as called for in the USAID project design, and generally its staff does not have the expertise for rigorous monitoring and continuing evaluation of its programs.

Goals and objectives of the Higher Education Commission (MTDF)

- Faculty development including Master's and PhD programs and short term courses;
- Improving access with a target of 5 percent of the age cohort by 2010;
- Promoting excellence in learning and research;
- Increased relevance of higher education to the economy including effective industry linkages between higher education, business and industry;
- Leadership, governance, and management. Improvement in higher education leadership, governance, transparency, efficiency, and accountability;

- Quality assessment and accreditation. Increase quality throughout the system (including teaching, research, and service) and establishment of a national system of accreditation for public and private higher education institutions;
- Improving the physical and technical infrastructure. Improve laboratories, expand and enhance access to information technology, upgrade institutional facilities, and expand campuses to meet student demand and national research and development needs; and
- To increase higher education funding to levels adequate to support improved quality (with the goal of achieving international standards), increased access, and relevance to national development.

Government of Pakistan Goals (National Education Policy 2009)

- To "… produce responsible, enlightened citizens to integrate Pakistan in the global framework of human centered development;"
- A major focus on access, equity (gender; rural-urban; provincial), and quality;
- To encourage private provision at all levels;
- Higher education-specific goals, among which are to:
  - Improve quality
  - Merit-oriented admissions
  - Equitable opportunities
  - Efficient administration, teaching, and research
  - Develop civic responsibility, social cohesions, and more tolerant society
  - Enhance research, innovation, economic growth, relevance and development
  - Promote and assist faculty development
  - Provide service to the nation
  - Improve teaching and learning

USAID's Long-term Goals of the Higher Education Sector

USAID supports the GOP's goal of a higher education sector that will focus on and support priority technical sectors in which the USG is investing significant resources. The result will be that a greater number of well-trained professionals that will contribute to improvements in these sectors that are vital to Pakistan's social and economic development. The priority technical sectors include:

1. Energy: policy, mining of indigenous gas, petroleum and coal resources, hydro-electric power, alternate energy resources, energy conservation;

2. Water and environmental issues: water resource management, drinking water supply and sanitation, ground water hydrology, climate change impact;

3. Agriculture: value added agriculture, agriculture extension, agriculture waste processing, veterinary sciences;

4. Health: public health, nursing, epidemiology, reproductive health, midwifery, nutrition, medical technology; and,
5. Education: education finance, management, policy, planning, teacher education.

Problems and Major Impediments Affecting Food Security/Agriculture, Energy, and Water **Sectors**

Pakistan ranks lowest in Asia on the UN quality of life indicators with high infant and maternal mortality, low literacy and a large disconnect between its peoples' needs and what the formal education sector offers, particularly higher education –in terms of access, quality and relevance. The last few decades have been characterized by ever increasing demands for resources in science and engineering to resolve national problems in energy and food security. The constraints in each sector are further characterized below

Constraints in Agriculture/Food Security

There is a critical need to improve basic services for food security, water and energy. Agriculture is central to Pakistan's economy, accounting for over 21 percent of GDP and absorbing 45 percent of the country's total labor force. It produces about 70 percent of the foreign exchange through export of raw, semi-processed and processed agriculture products. The public sector agriculture extension system is under-staffed, poorly trained and over-stretched. On average, only one agriculture extension officer is available to advise about 9,000 farmers on the more than 50 crops cultivated in a given province. Key issues of agriculture are summarized as:

- Productivity and farm incomes are low. Crop and livestock yields are lower than the world average in almost all cases (tobacco is perhaps the only exception);
- Due to population growth the average farm size dropped from 5.3 to 3.1 hectares;
- Inadequate and inefficient use of key inputs;
- Existing infrastructure and support services are poorly designed and insufficient to meet growing needs of the farming community; and
- The overall policy framework in which the agriculture sector is governed inhibits private sector participation in research and policy-making.

Constraints in Energy

Pakistan is in the midst of an energy crisis. The electricity shortages in 2010 increased to 5,000 megawatts and many rural areas have no electricity for up to 16 hours a day. Natural gas is rationed during the winter months and reliance on imported fuels has increased; thereby increasing power generation costs, limiting industrial production and adding to the country's balance of payment problems. The shortfalls are compounded by the fact that the country's energy mix is greatly skewed towards imported fuel. The energy shortfalls have stunted the country's economic growth. The increasing reliance on imports has exacerbated the country's balance of payment problems because of long hours of load-shedding in both rural and urban regions, directly affecting the economy.

Meanwhile, security issues have constrained the building of new hydroelectric projects, especially in the Khyber Pakhtunkhwa (KPK). On the positive side, energy efficiency programs have added available power, although the potential for more improvements in efficiency of energy use and in new sources of power is considerable. Although Pakistan's energy sector faces many technical problems in developing hydro, wind, and other sources of energy such as coal, a feasibility study found that crucial issues around energy are much less technical than policy- and management-related. Specifically, energy policy is not being addressed in Pakistani universities where crucial social sciences are largely absent or neglected. Major disconnects exist between universities, the energy industry and communities.

An Energy CAS must serve the nation as an energy policy think tank with strong connections to industry and U.S. universities and indigenous and international research and policy; especially in the areas of power sector governance, mini-hydroelectric generation, bioenergy, solar, wind, energy efficiency, and fossil fuel plant performance. The sector should also have linkages with the agriculture center for advanced studies in the area of biofuels, in particular biodiesel and other non-traditional fuel production.

Constraints in Water

The feasibility assessment team's most important finding in this sector is that a water crisis is at hand in Pakistan, with the population growing exponentially while available water per capita is dropping dramatically. The water availability per capita in 1961, when the population was 35 million, was more than 5,300 cubic meters (m^3), declining to less than 1,100 m^3 per capita in 2011 as an index for a population of 170 million. Pakistan is clearly becoming a water-deficient country, with severe negative impacts on food-production, sanitation and economic development. Pakistan has a unique water balance because it is situated at the western edge of the monsoon belt. There is plenty of water during the three summer months (June – August) but mostly limited to the northern half of the country. The rest of the year, water becomes a scarce resource that causes low agricultural yields. This problem is compounded by inefficient management of water production resources. On the other hand, water logging and increased salinity are rendering otherwise productive agricultural land barren, in part due to mismanagement of water resources. Old but proven irrigation systems have shown remarkable resilience, but have been overwhelmed by larger issues of water management that are due as much from man-made as from natural disasters. The feasibility assessment team's key recommendations for this sector include:

- Addressing policy constraints to avert an emerging water/population crisis;
- Practical education and training in managing water resources;
- Research relevant to country needs;
- Effective outreach to promote dissemination of knowledge and results of research;
- Links to U.S. water-resources universities; and

- Participate in forums that promote cooperation for regional and transnational management of water, energy, and agricultural resources.

Gender and Education

The enrollment of women in higher education has increased over the last few years and now constitutes more than one-third (about 44%) of the total university student body. Disparities across disciplines and areas remain. Urban and metropolitan universities have close to 50 percent female enrollment, while those in more rural areas have a smaller proportion. Traditionally in the fields of energy, water and agriculture, the enrollment of women is particularly low. In addition, very few women are in academic administration or academic research in these areas.

Another potential issue is that often women after completing their university studies do not enter the work force. There are several cultural and social factors that cause this issue, including family pressure on women to marry and reluctance by many male-dominated institutions to hire female professionals. These negative factors are exacerbated by a lack of career counseling and absence of student internships/job placements in the technical sectors that leads to female students opting for jobs that are easily found such as teaching in a local public/private school.

There are very few programs that's provide career counseling, family counseling when appropriate, as well as internships that actively promote women's role in the private sector. Moreover, these cases where women fail to take up employment after completing university training are preponderantly in the area of undergraduate studies. Women who decide to go for advance degrees especially in non-tradition subjects (such as agriculture, water and energy) are much more likely to have a commitment for pursuing a career.

To increase female participation within university management and leadership positions, there is a need to actively promote women's career advancement in the university system and combat the prejudices that may exist. Mentoring programs for successful women in the university to mentor younger female colleagues are needed.

Related Donor Efforts

It is expected that this project will work with several donors who have ongoing programs to assist higher education in Pakistan. DFID and the British Council are working with the Higher Education Commission to improve higher education policies, promote networking on higher education management, IT and technical issues with British and other universities and international institutions. The Higher Education Commission and its Turkish counterpart (YOK) are finalizing an MOU which opens the door for Turkish assistance and will be explored in terms of potential linkages with the CAS project. Following USAID's model, the Japan Assistance Agency (JICA) is providing merit and needs based scholarships through HEC.

The World Bank's Tertiary Education Support Project (TESP) is a three-year $300 million effort to support the implementation of the GOP's higher education development objectives as presented in the Medium Term Development Framework (MTDF) for 2011 – 15. The TESP shares many of the Centers for Advanced Studies project objectives, but on a broader scale, such as increasing the quality and relevance of tertiary education and research. It also promotes linkages to international academia to support the Higher Education Commission reform agenda. USAID/Pakistan will continue to reach out to the World Bank to promote collaboration in these areas in order to maximize USAID's and the World Bank's effective use of funds.

USAID's Assistance to Higher Education to Date

The history of US bilateral assistance to Pakistan goes back to 1951 with a modest effort to help the newly independent country respond to partition and the tremendous population upheavals that ensued. It focused on infrastructure, food, and technical support. The programs grew to a total of almost $400 million per year by 1960. They totaled $5.1 billion by 1982. From 1982 to 1993, USAID provided another $2.28 billion for development projects. There was a seven year pause in USAID due to the US-imposed nuclear non-proliferation sanctions against Pakistan. USAID reopened in July 2002. In 2002, the US Government signed a five-year $100 million agreement with the GoP to support its Education Sector Reform initiative. USAID supports both basic and higher education. The annual appropriation has grown from $20 million in 2002 to about $60 million annually and includes the largest Fulbright Program in the world

The higher education portfolio is under the foreign assistance objective of "Investing in People" and is designed to "increase access to quality education." This includes higher enrollment rates, particularly for females, better educational outcomes over time, and finally the Millennium Development Goal of universal primary education. USAID will develop higher education centers for advanced studies that will contribute to long term economic development goals by supporting technical and vocational education tied to jobs. The goals are spelled out further in the 2012 Education in Pakistan Working Paper where the goal is to "increase the number of students that enroll and complete courses in primary, secondary, and tertiary educational institutions." In higher education, the core challenge is to produce the educated human capital necessary to fuel economic development in Pakistan. A 2007 UNESCO report found that only 4.75 percent of the 17-23 age cohort in Pakistan have access to higher education. There are only enough seats for 20 percent of students who pass the university entrance exam. Research has shown that the lack of access to a high-quality secular education can contribute to violent extremism. U.S. assistance, in collaboration with the GOP and other donors, will help ensure that more Pakistani youth, particularly in areas vulnerable to extremism, are able to attain an education.

USAID's development objective in education for Pakistan focus on: "improving the quality of education" and that includes improvement and strengthening of education policy making and planning, improved delivery of educational services, and increased access to higher education. Educational growth and development also have important impacts on a more participatory, representative, accountable and democratic Pakistan; increased economic opportunities for the poor; and improved health for vulnerable populations. In its study of knowledge societies and economic development, the World Bank concluded that no society reaches the stage of a developing nation without a high-quality higher education system.

Higher education transformation in Pakistan has been successful over the last seven years – one of the most successful models in the developing world. However, higher education is at a critical stage in its development and needs strong continued support from the GOP and external donors, including USAID.

The goals of the MTDF and the GOP are being realized broadly and while substantial progress has been made, continued investment and improvement are necessary if Pakistan is to catch up with its neighbors in the region and reach a stage of development that will allow it to be competitive globally.

The Fulbright program is a vital contributor to preparing well-trained Master's and PhD students so essential to the success of the plans to establish university and research centers. The Fulbright program has shown great progress in its efforts to foster gender equity. Those trained in the US have an almost 100% return rate and are eagerly sought by universities, government, and other employers.

Special attention continues to be given to improving gender equity, recognizing the long history of cultural and religious discrimination against women. Similarly, special efforts are being made to help disadvantaged students throughout Pakistan, but especially in the border areas which have suffered from neglect and economic deprivation for decades.

Additional support to higher education is currently being provided for programs of teacher training, enhancing social science and policy analysis programs, and training for middle management and for technical personnel in science, technology, and IT.

The GoP is a strong supporter of USAID's involvement in higher education to bring it up to international standards and set the conditions to spur national development. No developing nation has moved into the ranks of developed nations without a high quality higher education system. While a great deal of progress has been made in higher education in Pakistan, it has a long way to go to become a high quality system.

ANNEX "F".CAS UNIVERSITIE'S CONTACTS

Applicants may contact the CAS universities in preparing for this application. The contact details are as below:

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