



# USAID | WEST BANK/GAZA

FROM THE AMERICAN PEOPLE

## AMENDED AND RESTATED MISSION ORDER NO. 21

Subject: Anti-Terrorism Procedures

References: Executive Order 13224 (September 24, 2001)  
Section 559 of the FY 06 Foreign Operations Appropriations Act  
Section 3 of P.L. 109-446  
18 U.S.C. §§ 2339A and 2339B  
AAPD 04-14 (September 24, 2004)  
AAPD 02-04 (March 20, 2002)

Effective Date: October 3, 2007

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### I. PURPOSE

The purpose of this Mission Order is to describe and update procedures to ensure that the Mission's assistance program does not inadvertently provide support to entities or individuals associated with terrorism.

### II. LEGAL AUTHORITIES

On September 24, 2001, shortly after the terrorist attacks of September 11th, President Bush issued Executive Order 13224, which blocks property and interests in property of individuals and entities that are designated as committing or posing a significant risk of committing terrorist acts. The Order prohibits all transactions and dealings in blocked property or interests in the U.S. or by U.S. persons. It also prohibits transactions with, and provision of support for, individuals or entities designated in or subject to the Order.

Initially, 28 individuals and entities were designated under E.O. 13224. The Order authorized the Secretary of State to make additional designations. It also authorized the Secretary of Treasury to designate additional individuals and entities that provide support or services to, are owned or controlled by, act for or on behalf of, or are "otherwise associated with," an individual or entity that has been designated in or under the Order.

E.O. 13224 is just one of several statutes, regulations and Executive Orders pertaining to terrorism. Others include Sections 2339A and 2339B of Title 18 of the U.S. Code, which prohibit the provision of material support or resources for terrorist acts or to designated foreign terrorist organizations, and Executive Orders 12947 (January 23, 1995) and 13099 (August 20, 1998), which prohibit transactions with terrorists who threaten to disrupt the Middle East peace process.

Hundreds of individuals and entities have been designated under these and other statutes, regulations and Executive Orders. A complete list of designated parties can be found online at <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>. The list includes several Palestinian

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organizations that have been designated as terrorist entities, including Hamas, the Popular Front for the Liberation of Palestine (PFLP), Palestinian Islamic Jihad (PIJ), and the Democratic Front for the Liberation of Palestine (DFLP).

A statutory provision of special relevance to USAID/WBG is Section 559 of the FY 06 Foreign Operations Appropriations Act, which is entitled "West Bank and Gaza Program". Paragraphs (b) and (c) of Section 559 provide as follows:

(b) VETTING – Prior to the obligation of funds appropriated by this Act under the heading "Economic Support Fund" for assistance for the West Bank and Gaza, the Secretary of State shall take all appropriate steps to ensure that such assistance is not provided to or through any individual, private or government entity, or educational institution that the Secretary knows or has reason to believe advocates, plans, sponsors, engages in, or has engaged in, terrorist activity. The Secretary of State shall, as appropriate, establish procedures specifying the steps to be taken in carrying out this subsection and shall terminate assistance to any individual, entity, or educational institution which he has determined to be involved in or advocating terrorist activity.

(c) PROHIBITION – None of the funds appropriated by this Act for assistance under the West Bank and Gaza program may be made available for the purpose of recognizing or otherwise honoring individuals who commit, or have committed, acts of terrorism.

A provision similar to paragraph (b) has appeared in each Foreign Operations Appropriations Act since FY 2003. Paragraph (c) was added in FY 2005. Provisions similar to paragraphs (b) and (c) were included in the Palestinian Anti-Terrorism Act of 2006 (P.L. 109-446), extending the requirements through fiscal years 2007 and 2008.

### **III. ADDITIONAL BACKGROUND INFORMATION**

The vetting procedures described in Section V are the culmination of an evolutionary process that began in July 2001, following consultations on Capitol Hill, and gathered momentum after the terrorist attacks of September 11, 2001. Draft review procedures were developed in the fall of 2001, based on consultations with the ANE Bureau, USAID's anti-terrorism task force, the Office of the General Counsel, the U.S. Embassy/Tel Aviv, USAID Mission staff, U.S. implementing partners, and Palestinian non-governmental organizations (NGOs). Since then, the review procedures have been further refined to take into account concerns raised by these and other parties. The most recent update occurred after discussions with the Government Accountability Office, USAID's Regional Inspector General, USAID's General Counsel's Office and Office of Security, Mission staff, and after a multi-agency review led by the U.S. Consulate General in Jerusalem as part of an effort to establish standard operating procedures for vetting across all U.S. Government agencies providing assistance for the West Bank and Gaza.

In addition to vetting, the Mission implements three other formal anti-terrorism measures: (1) the anti-terrorism certification (ATC) (see Section VI below), (2) mandatory clauses reminding contractors and grantees of their legal duty to comply with applicable anti-terrorism laws and regulations (see Section VII below), and (3) a clause implementing the restriction imposed by Section 559(c) of the FY 06 Appropriations Act (see Section VIII below).

There are also several less formal means by which support for terrorist organizations is avoided. First, in order to ensure compliance with E.O. 13224 and related requirements, U.S. contractors and grantees are expected to conduct their own review of proposed non-U.S. awardees.

Second, before an award is made to a non-U.S. organization, staff of USAID (in the case of prime awards) or staff of the U.S. prime contractor or grantee (in the case of subawards) scrutinize various aspects of the organization's operations as part of the standard due diligence and pre-award survey. Third, the personal knowledge of USAID staff is taken into account before an award is made or a subaward is approved. Finally, knowing that individuals and organizations will be subject to such scrutiny, organizations that are involved in terrorism are discouraged from applying for USAID-financed assistance in the first place.

#### IV. DEFINITIONS

As used in this Mission Order –

- A. "Award" means any contract, grant or cooperative agreement awarded by USAID, and any cash or in-kind assistance provided by USAID in any other form, including construction services, equipment, supplies, technical assistance, and training. "Awardee" means any individual or organization that receives an award. Unless the context otherwise requires, "award" includes "subawards," and "awardee" includes "subawardees" as defined below.
- B. "Cognizant Technical Officer" or "CTO" means the USAID officer responsible for day-to-day management of the project or activity in question.
- C. "Key individuals" means the individuals defined in Section V.C below. (The definition of "key individuals" is not the same as "key personnel" under a contract or cooperative agreement.)
- D. "PSU" means the Program Support Unit of the USAID Mission.
- E. "Subaward" means any grant, subgrant or subcontract awarded by a USAID implementing partner, and any cash or in-kind assistance provided by an implementing partner in any other form. "Subawardee" means any individual or organization that receives a "subaward."

#### V. VETTING PROCEDURES

- A. **Applicability:** Vetting is conducted by USAID in connection with its review and approval of proposed awards and subawards to non-US awardees. Vetting applies to the following organizations and individuals:
  - (1) Contractors and subcontractors: Any non-US organization or individual proposed for award of a contract or subcontract in excess of \$25,000. This includes contracts to be awarded by USAID, subcontracts to be awarded by prime contractors, and contracts to be awarded by grantees and recipients of cooperative agreements. It does not include personal services contracts (PSCs) to be awarded by USAID, which have separate security clearance procedures. A contract includes any instrument that acts as a contract regardless of its form or the name given to it.
  - (2) Recipients of assistance instruments: Any non-US organization or individual (other than a Public International Organization (PIO)) proposed to receive cash or in-kind assistance under a cooperative agreement, grant or subgrant, regardless of the dollar amount. This includes grants and cooperative agreements to be awarded by USAID, grants to be awarded by prime contractors (Grants Under Contracts, or GUCs), and subgrants to be awarded by grantees or recipients of cooperative agreements (Grants Under Grants, or GUGs). An assistance instrument includes any instrument that acts as a grant or cooperative agreement regardless of its form or the name given to it.

- (3) Trainees: Non-US individuals for whom USAID finances (a) training, study tours, or invitational travel in the U.S. or third countries, regardless of the duration; or (b) training in West Bank/Gaza lasting more than five consecutive work days (regardless of the number of hours of training on each day).
- (4) Other direct recipients of cash or in-kind assistance: Except as provided in paragraph (5) below, vetting is required when other forms of cash or in-kind assistance (including technical assistance) are provided directly to one or more specifically identified persons or entities. For example, vetting generally would be required for a hospital that will receive pharmaceuticals, a company whose manufacturing equipment will be repaired or replaced, or an NGO whose recreational facilities will be renovated. Vetting is not required, however, for persons or entities that benefit from assistance indirectly. In the prior examples, no vetting would be required for patients of the hospital, customers of the manufacturer, or users of the recreational facilities. When assistance is to be provided directly to a government entity, the procedures outlined in part IX below, "Cooperation with Government and Government Officials" apply.
- (5) Exceptions: Except as provided in paragraph (6) below, vetting required under paragraph (4) above does not apply in the following cases:
  - (a) Individuals who receive jobs under employment generation activities, including incidental job training.
  - (b) Ultimate beneficiaries of cash or in-kind assistance, such as food, water, medical care, micro-enterprise loans, shelter, etc.; provided that the total value of assistance per occasion does not exceed the following amounts:
    - (i) \$1,000, for assistance to an individual (other than loans),
    - (ii) \$2,500, for assistance to an organization (other than loans), or
    - (iii) \$5,000, for micro-enterprise loans or assistance to a household (e.g., repair of housing units).
  - (c) Vendors of goods or services acquired by USAID contractors and grantees in the ordinary course of business for their own use – for example, utilities (water, electricity, gas, and trash collection); communications (telephone, fax, postal and courier services); office supplies, equipment and furniture; services for moving to new homes and offices; vehicles (purchase or lease) and fuel, spare parts, and repair or maintenance services for vehicles; and books, newspapers and periodicals. This exception also applies to paragraph A(1) above. Vetting is required, however, before leasing housing or office space if the total amount of rent under the lease exceeds the limit stated in A(1) above.
- (6) Even if vetting would not otherwise be required under these rules, vetting will be conducted whenever there is reason to believe that the beneficiary of assistance or the vendor of goods or services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has done so in the past.

#### **B. Further Rules on Applicability:**

- (1) The \$25,000 threshold for contracts and subcontracts is cumulative for multiple awards to the same firm or individual within a 12-month period. For example, if a firm receives a subcontract for \$20,000 and later is selected to receive another one for \$10,000, the second award would trigger vetting if fewer than 12 months have passed since the first award. To track this threshold, the Office of Contracts Management will provide the PSU, on a monthly basis, with a list of first tier contracts and second tier subcontracts under \$25,000 awarded to non-U.S. organizations or individuals for a program purpose in the prior month, or not previously reported, including the name of the contractor,

amount and start and end dates of the award. When the same firm or individual exceeds the \$25,000 cumulative amount, the PSU will notify the Cognizant Technical Officer responsible for the awardee that exceeded the threshold that vetting is required. Amendments, however, will be treated differently. If an amendment would increase the amount of a contract or subcontract above \$25,000, vetting would be required no matter how many months have passed since the original award was made.

- (2) With respect to vetting required under Sections V.A(1) and (2) above, vetting applies only to first-tier and second-tier recipients. If, for example, a U.S. prime contractor (first tier) awards a grant to a Palestinian NGO (second tier), which in turn awards a subgrant to another Palestinian NGO (third tier), the second-tier grantee would be vetted, but the third-tier subgrantee would not be.
- (3) Palestinian government officials, including Palestinian Legislative Council members and municipal officials, are subject to vetting to the same extent as other individuals. They must be vetted, for example, before participating in training or invitational travel outside of the West Bank and Gaza. They need not be vetted, however, with respect to USAID-financed public works that benefit broad segments of the general public – for example, the construction of schools, development of parks, or repair of roads. However, screening may be required under the circumstances described in part IX below, “Cooperation with Government and Government Officials.”
- (4) Vetting applies to colleges, universities and other educational institutions to the same extent as other types of organizations.
- (5) Although PIOs are not themselves subject to vetting, organizations and individuals to whom PIOs make awards or otherwise provide assistance are subject to vetting by USAID in accordance with these rules.
- (6) No one under age 16 will be vetted. Where vetting is required for a household (e.g., for housing assistance that exceeds \$5,000), only members of the household who are 16 years of age or older will be vetted.
- (7) If an organization has been previously vetted, whether subsequent vetting will be required for each of its branches that receive assistance will be decided by the Deputy Mission Director on a case by case basis. This decision will depend largely on the extent to which the organization’s headquarters oversees and controls the activities of its branches.
- (8) For contracts and grants under interagency agreements pursuant to Section 632(a) or (b) of the Foreign Assistance Act, it will be incumbent upon the recipient agency to implement appropriate review procedures to ensure compliance with E.O. 13224 and related requirements. A provision to this effect will be included in all interagency agreements pertaining to the West Bank and Gaza.

**C. Vetting of “Key Individuals”:** Whenever an organization must be vetted, each of the organization’s “key individuals” must also be vetted. “Key individuals” means:

- (1) Principal officers of the organization’s governing body (e.g., chairman, vice chairman, treasurer or secretary of the board of directors or board of trustees);
- (2) The principal officer and deputy principal officer of the organization (e.g., executive director, deputy director; president, vice president);

- (3) The program manager or chief of party for the USAID-financed program; and
- (4) Any other person with significant responsibilities for administration of USAID-financed activities or resources.

Note that the definition of "key individuals" differs from the definition of "key personnel" under a contract or cooperative agreement.

- D. Obtaining Data Needed for Review:** Before USAID awards a contract, grant or cooperative agreement to any organization described in A(1) or (2) above, the proposed awardee must submit to USAID data needed to vet the organization and its "key individuals." Similarly, before an implementing partner makes a subaward of the type described in A(1) or (2) above, or provides assistance of the type described in A(3) or (4) above, the implementing partner must submit to USAID data needed to vet the proposed recipient of the subaward or other assistance.

To vet an individual, USAID needs the person's full name as it appears in a government-issued photo ID. If the individual holds an ID with a full four-part name, that ID must be used before an ID without the full four-part name. To vet an organization, USAID needs the full name and address of the organization and the full name of each "key individual" of the organization, once again, as it appears in a government-issued photo ID. In addition, for each individual or key individual USAID needs (1) the government-issued photo ID number (e.g. passport number), (2) type of such ID and country of issuance, and (3) date and place of birth. Provision of additional information such as citizenship(s), gender, occupation, current employer (if applicable), and address of residence should be submitted when available. Such additional information can expedite and improve the quality of the vetting process. Any vetting requests that do not include all required data will not be processed.

The Cognizant Technical Officer will be responsible for gathering the information described above from prime awardees, using the form shown in Attachment A. This information will be forwarded to USAID's Program Support Unit ("PSU") for submission to USAID/Washington for transfer to the appropriate U.S. vetting center in Washington for review (the "Vetting Center"). Before initiating a vetting request, however, the CTO should consult with PSU to see whether a vetting approval is already in effect for the individual or organization in question. (See "Duration of Approval," below.)

Vetting should be initiated as early as possible during the process of selecting recipients. Selection decisions should not be disclosed to the proposed recipient or any other outside party until the vetting process has been completed and USAID has determined that the recipient is eligible.

- E. Review by the Vetting Center, U.S. Consulate General and USAID:** After submission of the data described above, the Vetting Center will review the data and notify USAID/Washington in writing of the results of its review, including whether any derogatory information has been located – that is, whether any of the vetted organizations or individuals appear to be, or to have affiliations with, problematic organizations or individuals. Notification will be sent to PSU, which in turn will notify the CTO.

In cases where no derogatory information is located from Washington, USAID will submit organizations that require vetting under A(2) or A(4) above to the U.S. Consulate General in Jerusalem for an additional review. The Consulate General will review the data and notify USAID in writing of the results of its review, including whether any derogatory information

has been located. Notification will be sent by the Consulate General to the PSU which will in turn notify the CTO. This procedure will apply only to organizations and not to individuals.

In cases where no derogatory information is located from either the Vetting Center or the Consulate General, USAID will proceed with the proposed award, or notify the contractor, grantee or recipient that it may proceed with the proposed subaward, as the case may be. See Attachment B for suggested notification language.

In cases where derogatory information about a proposed awardee or a key individual is located, the Deputy Mission Director and the CTO will decide whether to request additional information about the organization or individual(s) in question – for example, an individual's occupation or address of residence, if not already provided. This information may enable USAID and the Vetting Center or the U.S. Consulate General to determine that a "false positive" has occurred, or it may confirm that suspected affiliations truly exist. When additional identifying information is needed, the request will be made to more than one person whenever possible – for example, to all "key individuals" of an organization – to avoid disclosing which individual(s) triggered the request.

In cases where additional information does not dispel derogatory information, USAID will either (1) disapprove the award or subaward to the proposed recipient, or (2) submit the matter to the U.S. Consulate General/Jerusalem for further review, in consultation with Washington as appropriate.

**F. Notification of Final Decision:** Once a final decision has been made, the Cognizant Technical Officer will promptly send written notice of the decision to (1) USAID's Contracting Officer, in the case of a proposed award by USAID; or (2) the proponent of the subaward, in the case of a subaward proposed by a party other than USAID. Notices to outside parties must conform to the language shown in Attachment B. A copy of the final decision will be retained in PSU's files.

**G. Duration of Approval:** Once an awardee has been approved pursuant to these procedures and received an award, the approval generally will remain in effect for that particular award for three years. However, new vetting will be required if there is any change in the awardee's "key individuals." For an organization, when there is a change in the "key individuals" only the new individual(s) must be vetted, but the approved vetting date for purposes of calculating the three-year period of approval for an award will remain the last date when all key individuals of the organization were vetted simultaneously. Vetting approval may be rescinded if USAID obtains information indicating that the awardee or any of its "key individuals" is or has been involved in terrorist activity. When such information arises, the Cognizant Technical Officer will consult with the Deputy Mission Director, the Regional Legal Advisor, and the Contracting Officer.

For any new awards or extensions of existing awards, the awardee must be vetted if more than 12 months have passed since the awardee was last approved pursuant to these procedures. If fewer than 12 months have passed, vetting is not required for that award or extension. For any award or extension that does not require vetting because fewer than 12 months have passed since the awardee was last approved, the Office of Contracts Management will provide the PSU on a monthly basis with a list of such awards or extensions, including the name of the awardee, amount and start and end date of the award. This will allow the PSU to track when the three-year vetting approval will expire for any given award.

As provided in the mandatory clause shown in Attachment D, awardees are required to keep USAID apprised of changes in the "key individuals" of the awardee and of all subawardees that were vetted by USAID. The clause reserves the right of USAID to rescind its approval of subawards at any time. If vetting approval is rescinded for a subaward, USAID's Contracting Officer will provide written instructions to the prime awardee to terminate the subaward. The clause also reserves the right of USAID to terminate the prime award if USAID determines that the awardee is involved in or advocates terrorist activity or has failed to comply with the requirements of the clause.

- H. Database:** PSU will maintain a database showing all organizations and individuals that have been submitted for review and the status of each case. Due to the sensitivity of information in the database, it will be made available only to those with an official need for access, as determined by PSU and/or the Deputy Mission Director.

## **VI. ANTI-TERRORISM CERTIFICATION (ATC)**

On September 24, 2004, USAID/Washington's Office of Acquisition and Assistance issued AAPD 04-14, "Certification Regarding Terrorist Financing Implementation E.O. 13224 (Revision 2)". The AAPD requires that all U.S. and non-U.S. organizations certify, before being awarded a grant or cooperative agreement by USAID, that the organization does not provide material support or resources for terrorism. The text of the certification is shown as Attachment C. (This version supersedes earlier versions that were issued in AAPD 02-19 on December 31, 2002, and AAPD 04-07 on March 24, 2004.)

The ATC requirement applies to the prime recipients of grants and cooperative agreements and the recipients of Grants Under Contracts (GUCs). The requirement for prime recipients and recipients of GUCs also includes assistance instruments in any form (such as memoranda or letters of understanding, for example) to the extent such instruments are used as obligating documents to provide assistance. In addition, USAID/WBG has extended USAID's policy to apply the requirement to the first level of subgrantees receiving cash assistance under grants and cooperative agreements (Grants Under Grants, or GUGs) or any other assistance instrument regardless of its form. Thus, the ATC applies to all first-tier and GUC assistance recipients and all second-tier assistance recipients of cash assistance, but it does not apply to lower-tier recipients.

The ATC applies only to the non-governmental organizations that receive awards of cash or in-kind assistance. It does not apply to (1) individuals, (2) public international organizations, (3) the host government (including local government units), (4) contractors, or (5) subcontractors. Note that because municipalities are not NGOs, they need not sign the ATC when they receive in-kind assistance (e.g., technical assistance, training, supplies, equipment, or construction services).

The Office of Contracts Management (OCM) is responsible for obtaining ATCs before making awards to prime awardees. USAID's implementing partners are responsible for obtaining ATCs before making subawards to subawardees, in accordance with this section, and providing copies of them to OCM.

## **VII. MANDATORY CLAUSES**

On March 20, 2002, the Office of Procurement issued AAPD 02-04, "Implementation of E.O. 13224 – Executive Order on Terrorist Financing." The AAPD prescribes a mandatory provision for inclusion in all solicitations and awards for contracts, grants and cooperative agreements.



The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

The Mission has revised this clause to meet the statutory requirements relating specifically to the West Bank/Gaza program in consultation with USAID's Office of the General Counsel in Washington. The revised clause is shown as Attachment D. Paragraph (a) is identical to language stated in the AAPD. The other paragraphs are unique to the Mission and serve to implement the statutory requirements on the Mission's program.

For grants to the United Nations or UN agencies, the clause shown as Attachment E is used to supplement the standard provision entitled "Terrorist Financing Clause (UN Grants) (May 2003)". (See ADS 308, Mandatory References, Standard Provisions for Grants to Public International Organizations, Required as Applicable Standard Provisions.)

#### **VIII. RESTRICTION ON FACILITY NAMES**

Section 559(c) of the FY 06 Foreign Operations Appropriations Act, provides as follows: "None of the funds appropriated by this Act for assistance under the West Bank and Gaza program may be made available for the purpose of recognizing or otherwise honoring individuals who commit, or have committed, acts of terrorism." To implement this restriction, all contracts, subcontracts, grants, cooperative agreements, and subgrants must contain the clause set forth in Attachment F, "Restriction on Facility Names."

When, in accordance with this clause, an implementing partner submits information concerning a facility's name, the CTO will review the information to determine whether it might be problematic. If there is any possibility that the proposed name will be controversial, the CTO will consult with the Deputy Mission Director for guidance. The CTO will document this review in a memorandum to the project file.

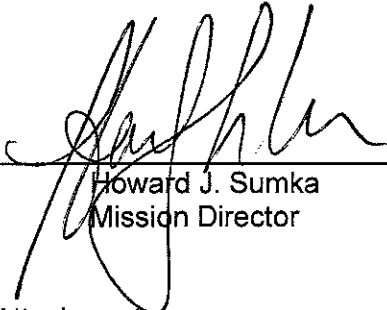
The use of "shuhada" or "shaheed" ("martyr" or "martyrs") in a facility's name may be approved by the Mission Director if he determines (i) that assistance to the facility does not have the purpose of honoring or recognizing any individual who has advocated, sponsored or committed acts of terrorism and (ii) that it is unlikely that a reasonable person aware of the relevant facts and circumstances would perceive the assistance as having the effect of honoring or recognizing such an individual. When making this determination, the Mission Director may consult with the U.S. Ambassador or the U.S. Consul General, as appropriate.

#### **IX. COOPERATION WITH GOVERNMENT AND GOVERNMENT OFFICIALS**

Additional vetting may be required in cases where certain government officials – i.e., members of the Palestinian Legislative Council, officials of the Palestinian Authority, or elected municipal officials – will sign a memorandum of understanding, grant agreement or project agreement, or will otherwise be involved in project implementation or publicity for a project. Likewise, prior to providing assistance directly to or that directly benefits a government entity, additional screening may be required. In all such cases, the Deputy Mission Director should be contacted for guidance.

**X. APPROVAL**

This Mission Order will go into effect on the date signed by the Mission Director below.

  
\_\_\_\_\_  
Howard J. Sumka  
Mission Director

10-03-2007  
Date

Attachments:

- A. Vetting Form
- B. Sample Notification Language
- C. Anti-Terrorism Certification
- D. Mandatory Clause
- E. Mandatory Clause (UN Grants)
- F. Restriction on Facility Names

MO #21 Drafted by: RLA, P.Sullivan, 09/14/05, revised 12/28/05, 02/17/06, 03/03/06 & 3/13/06.  
Approved by: MD, Jim Bever, 3/13/06;

Amendment No. 1 revisions drafted by: RLA, J.Lifur, 11/06/06, revised 2/7/07; 6/11/07; 8/8/07,  
9/30/07.

PARTNER INFORMATION FORM

<b>Part I: Information About Proposed Activities</b>		
1. Name of the prime contractor, grantee or recipient proposing the award or other assistance:		
2. Type of proposed award or other assistance (check one): <input type="checkbox"/> contract or subcontract <input type="checkbox"/> grant or subgrant <input type="checkbox"/> training <input type="checkbox"/> equipment <input type="checkbox"/> other		
3. US\$ amount & estimated start/end date of proposed award or assistance: \$                      Start:                      End:		
4. Purpose of proposed award or assistance:		
5. Organization proposed to receive award or other assistance:		
a. Name:		
b. Address:		
c. Telephone:	d. Fax:	e. Email:
6. Information on each individual to receive training, equipment, or other direct benefits or who is a key individual of the organization named in 5 above. Use continuation sheets as necessary. ** = mandatory information.		
A. Name (As in passport or other government-issued photo ID)**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name");		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:	Is the individual a U.S. citizen or legal permanent resident?** Yes <input type="checkbox"/> No <input type="checkbox"/>	
<b>Part II: Contractor/Grantee/Recipient Certification:</b>		
Contractor/Grantee/Recipient certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor/Grantee/Recipient understands that the U.S. Government may rely on the accuracy of such information in processing this vetting request.		
Name:	Signature:	
Title/Organization:	Date:	
<b>Part III: Submission details (to be completed by USG official)</b>		
Request number		
Staff member who initiated request		
Project name		
Date submitted for screening	1.	2.

**Partner Information Form Continuation sheet for Part I. section 6, list of individuals (use additional continuation sheets as necessary):**

<b>B. Name (As in passport or other government-issued photo ID)**</b>		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:	Is the individual a U.S. citizen or legal permanent resident?*** Yes ___ No ___	
<b>C. Name (As in passport or other government-issued photo ID)**</b>		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:	Is the individual a U.S. citizen or legal permanent resident?*** Yes ___ No ___	
<b>D. Name (As in passport or other government-issued photo ID)**</b>		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:	Is the individual a U.S. citizen or legal permanent resident?*** Yes ___ No ___	
<b>E. Name (As in passport or other government-issued photo ID)**</b>		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:	Is the individual a U.S. citizen or legal permanent resident?*** Yes ___ No ___	

## PARTNER INFORMATION FORM INSTRUCTIONS AND NOTICES

### **Instructions**

#### **Part I**

Question 1 – Self-explanatory

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

Question 3 – Enter the estimated amount of award of assistance in U.S. dollars and indicate the start and end date of the program using a mm/dd/yyyy format

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

Question 5 a-d – Self-explanatory

Question 6 - "Key individual" means (i) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer and secretary of the board of directors or board of trustees); (ii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director, president, vice president); (iii) the program manager or chief of party for the USG-financed program; and (iv) any other person with significant responsibilities for administration of the USG-financed activities or resources. Note that this definition differs from the definition of "key personnel" under contracts and cooperative agreements. Complete for each of these four categories or indicate "N/A" if a category does not apply.

#### **Part II**

An authorized representative of the Contractor/Grantee/Recipient must read the Certification and print his/her name where indicated, sign where indicated, print his/her title and the name of his/her organization where indicated, and print the date where indicated.

#### **Part III**

This section should be left blank. It will be completed by a USG official.

### **Notices**

#### **Privacy Act Statement**

The following statement is required by the Privacy Act of 1974 (5 U.S.C. 522). Information in this form is used to conduct screening of individuals and entities as required by applicable U.S. laws and implementing procedures to ensure that USAID funds do not inadvertently provide support to entities or individuals associated with terrorism. Public Law 109-446 §3(b)(2), 18 U.S.C. 2339A, 2339B, 2339C, Executive Orders 13224 and 12947, applicable Homeland Security Presidential Directives and other legislative or executive branch prohibitions on providing support or resources to, or engaging in transactions with, individuals or entities associated with terrorism constitute the authority for collecting this information. In addition, the Foreign Assistance Act of 1961 as amended (22 U.S.C. 2151 et seq.) provides USAID with broad discretion in granting foreign assistance and permits USAID to consider a range of foreign policy and national security interests in determining how to provide foreign assistance.

Disclosure of the information provided on this form will be done in accordance with USAID's System of Records Notice concerning the Partner Vetting System (72FR136) which establishes the routine uses and Privacy Act exceptions which apply to this system.

**SUGGESTED NOTICE LANGUAGE**

[The language below is suggested for notices to prime award recipients about proposed subawards. Notices to prime awardees about themselves should be modified as appropriate.]

**Notice of Eligibility**

I am writing with regard to \_\_\_\_\_, which your organization has proposed to receive an award of USAID assistance. USAID has determined that \_\_\_\_\_ is eligible to receive such assistance. This determination will remain in effect for three years to \_\_\_\_\_.<sup>1</sup> However, USAID reserves the right to rescind this approval in the event that USAID becomes aware of information indicating that the award is contrary to U.S. law or policy prohibiting support for terrorism. Furthermore, a new request for approval will be required if your organization wishes to extend this award or make a new award to \_\_\_\_\_ more than 12 months after [INSERT DATE OF FINAL VETTING RESULT].

This approval does not relieve your organization of its legal obligation to comply with U.S. Executive Orders and U.S. law prohibiting transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism.

As required by the terms of your contract/agreement with USAID, please promptly notify me in the event of any change in the identity of \_\_\_\_\_'s "key individuals." I request that you also notify me if there is a material change in the program or operations of \_\_\_\_\_, or any development that might cause USAID to reconsider \_\_\_\_\_'s eligibility.

**Notice of Ineligibility**

I am writing with regard to \_\_\_\_\_, which your organization has proposed to receive USAID assistance. After careful consideration, USAID has determined that \_\_\_\_\_ is not eligible to receive assistance funded by USAID. We encourage you to identify another candidate to receive the proposed assistance.

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<sup>1</sup> This sentence can be removed if notice applies to direct beneficiaries vetted under Section V.A(4) of the Mission Order.

CERTIFICATION

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 Council (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, safehouses, 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.

**Signed:** \_\_\_\_\_  
 (Typed Name and Title)  
 (Name of Organization)

\_\_\_\_\_ Date



## MANDATORY CLAUSE

**Prohibition against Support for Terrorism**

- (a) The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Contractor/Recipient to ensure compliance with these Executive Orders and laws.
- (b) One of the applicable orders is Executive Order 13224, dated September 24, 2001. The website of the Office of Foreign Assets Control (OFAC) of the Department of Treasury contains the text of that order and a list of the individuals and entities designated thereunder. It also contains lists of individuals and entities designated under other anti-terrorism statutes, regulations and Executive Orders. See <http://www.treasury.gov/offices/enforcement/ofac/sdn/>.
- (c) USAID reserves the right to review, and either approve or reject, the following subawards if proposed under this contract/agreement: (i) any contract or subcontract in excess of \$25,000 with a non-U.S. organization or individual; and (ii) any grant or subgrant to a non-U.S. organization or individual, regardless of the dollar value. Furthermore, the written consent of USAID is required before certain other forms of assistance may be provided to a non-U.S. organization or individual. These include in-kind assistance such as renovation of an NGO's facilities, repair or replacement of a company's equipment, and certain training activities. The details of these requirements are described in notices issued by USAID/West Bank & Gaza from time to time. No approval (or failure to disapprove) by USAID shall relieve the Contractor/Recipient of its legal obligation to comply with applicable Executive Orders and laws.
- (d) USAID reserves the right to rescind approval for a subaward in the event that USAID subsequently becomes aware of information indicating that the subaward is contrary to U.S. law or policy prohibiting support for terrorism. In such cases, USAID's Contracting Officer will provide written instructions to the Contractor/Recipient to terminate the subaward.
- (e) USAID reserves the right to terminate this contract/agreement if USAID determines that the Contractor/Recipient is involved in or advocates terrorist activity or has failed to comply with any of the requirements of this provision.
- (f) This provision, including this paragraph (f), shall be included in all contracts, subcontracts, grants and subgrants issued under this contract/agreement. The Contractor/Recipient shall promptly provide to USAID's Contracting/Agreement Officer a copy of the pages from each subaward that contain this provision.

[In addition to the clauses set forth above, the following clause shall appear in each award made directly by USAID and each subaward made by a USAID prime contractor or recipient.]

- (g) The Contractor/Recipient agrees to promptly notify USAID's Cognizant Technical Officer (CTO) in the event of any change in the identity of its "key individuals" or in the identity of "key individuals" of any recipient of a subaward described in paragraph (c). For purposes of this requirement, "key individuals" means (i) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer and secretary of the board of

directors or board of trustees); (ii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director, president, vice president); (iii) the program manager or chief of party for the USAID-financed program; and (iv) any other person with significant responsibilities for administration of USAID-financed activities or resources. Note that this definition differs from the definition of "key personnel" under contracts and cooperative agreements.

[In addition to the clauses set forth above, the following clause shall be included in any contract, grant or cooperative agreement awarded by USAID (i.e. USAID prime awards only).]

- (h) Before awarding any grant or similar instrument providing [cash or in-kind assistance under this contract][cash assistance under this agreement], the Contractor/Recipient shall (1) obtain from the proposed subawardee the certification required under USAID's Acquisition and Assistance Policy Determination 04-14 (AAPD 04-14), "Certification Regarding Terrorist Financing Implementation E.O. 13224 (Revision 2)," and (2) provide a copy of the certification to USAID's Agreement/Contracting Officer.

**MANDATORY CLAUSE (UN GRANTS)**

[This provision is applicable to grants to the United Nations or UN agencies. It supplements the standard provision entitled "Terrorist Financing Clause (UN Grants) (May 2003)".]

**Prohibition against Support for Terrorism (UN Grants)**

- (a) USAID reserves the right to review, and either approve or reject, the following subawards if proposed under this agreement: (i) any contract or subcontract in excess of \$25,000 with a non-U.S. organization or individual; and (ii) any grant or subgrant to a non-U.S. organization or individual, regardless of the dollar value. Furthermore, the written consent of USAID is required before certain other forms of assistance may be provided to a non-U.S. organization or individual. These include in-kind assistance such as renovation of an NGO's facilities, repair or replacement of a company's equipment, and certain training activities. The details of these requirements are described in notices issued by USAID/West Bank & Gaza from time to time. No approval (or failure to disapprove) by USAID shall relieve the Recipient of its legal obligation to comply with applicable laws and regulations.
- (b) USAID reserves the right to rescind approval for a subaward in the event that USAID subsequently becomes aware of information indicating that the subaward is contrary to U.S. law or policy prohibiting support for terrorism. In such cases, USAID's Agreement Officer will provide written instructions to the Recipient to terminate the subaward.
- (c) USAID reserves the right to terminate this agreement if USAID determines that the Recipient has failed to comply with any of the requirements of this provision.
- (d) This provision, including this paragraph (d), shall be included in all contracts, subcontracts and subgrants issued under this agreement. The Recipient shall promptly provide to USAID's Agreement Officer a copy of the pages from each subaward that contain this provision.

[In addition to the clauses set forth above, the following clause shall be included only in the UN grant awarded by USAID, and each subaward directly awarded by the UN recipient.]

- (e) The Grantee agrees to promptly notify USAID's Cognizant Technical Officer (CTO) in the event of any change in the identity of "key individuals" of any recipient of a subaward described in paragraph (a). For purposes of this requirement, "key individuals" means (i) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer and secretary of the board of directors or board of trustees); (ii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director, president, vice president); (iii) the program manager or chief of party for the USAID-financed program; and (iv) any other person with significant responsibilities for administration of USAID-financed activities or resources. Note that this definition differs from the definition of "key personnel" under contracts and cooperative agreements.

[In addition to the clauses set forth above, the following clause shall be included only in the UN grant awarded by USAID.]

- (f) Before awarding any grant or similar instrument providing cash assistance under this agreement, the Recipient shall (1) obtain from the proposed subawardee the certification

required under USAID's Acquisition and Assistance Policy Determination 04-14 (AAPD 04-14), "Certification Regarding Terrorist Financing Implementation E.O. 13224 (Revision 2)," and (2) provide a copy of the certification to USAID's Agreement Officer.

**RESTRICTION ON FACILITY NAMES**

- (a) No assistance shall be provided under this contract/agreement for any school, community center or other facility that is named after any person or group of persons that has advocated, sponsored or committed acts of terrorism. This includes any facility that has "shuhada" or "shaheed" ("martyr" or "martyrs") in its name, unless an exception is approved by the USAID Mission Director. In any case where assistance is proposed for a facility that is named after, or is planned to be named after, a person or group of persons, the Contractor/Recipient shall provide to USAID's cognizant technical officer (CTO) written information about the person(s) or group and shall not proceed with the assistance unless or until the CTO has provided written approval therefor. This restriction applies to all forms of cash or in-kind assistance, including construction services, equipment, supplies, technical assistance, and training.
- (b) In case of any failure to comply with this restriction, USAID may disallow any or all costs incurred by the Contractor/Recipient with respect to the facility and, if necessary, issue a bill for collection for the amount owed. This is in addition to any other remedies that may be available to USAID for such noncompliance.
- (c) This provision, including this paragraph (c), shall be included in all contracts, subcontracts, grants and subgrants issued under this contract/agreement. The Contractor/Recipient shall promptly provide to USAID's Contracting/Agreement Officer a copy of the pages from each subaward that contain this provision.