Money As A Weapon System Afghanistan

(MAAWS-A)

USFOR-A Pub 1-06

***C**ommander's **E**mergency **R**esponse **P**rogram (CERP) SOP*

March 2012

UNITED STATES of AMERICA
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INTRODUCTORY LETTER
FROM
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This revised Money as a Weapon System - Afghanistan (MAAWS-A) Commanders Emergency Response Program (CERP) Standard Operating Procedure (SOP) provides guidance on how we execute projects in support of the Afghanistan population and the Government of the Islamic Republic of Afghanistan (GIRoA). The SOP recognizes and addresses the challenges that lie ahead as we continue the momentum of our campaign and through the challenges of transition.

Our counterinsurgency campaign has made tremendous gains at great cost. The scale of our operational spending has provided significant economic benefits throughout the country. However, as we begin to transition, the decline of our force presence and retrograde operations will affect the Afghan economy. These impacts could induce an economic downturn that threatens to reverse some of our hard-won achievements. A weakened economy increases the risks associated with transition and sends a negative message about the effectiveness of the Afghan Government. If we plan wisely and act quickly, we can lessen the risk of these negative consequences and turn our retrograde into an opportunity to spur the Afghan economy towards a sustainable and robust growth path.

Precise application of CERP spending will increase its positive humanitarian impact and mitigate the potential economic slowdown resulting from force reductions and other policy actions. The overarching principles below help make this upcoming phase of the campaign a success and to help the Afghan people towards a sustainable and prosperous future.

Understand the Economic Environment. Know what our presence has done **to** the Afghan economy and what we need to do **for** the economy as we reduce our spending. While the international community works across the entire economic spectrum, CERP focus must be on the near-term and on understanding the resources available and the appropriate economic sectors for military assistance. We must focus our spending and projects for precise economic effects that promote sustained growth.

Support Targeted Sector Development. Agriculture employs approximately 70% of working Afghans and is an area where DoD spending is a minor factor. In contrast, construction and transportation are two sectors that will be impacted significantly as a result of reduced DoD spending. An optimal course of action (1) supports development of agriculture, consistent with the USG Strategy for Agriculture Assistance and the Ministry of Agriculture, Irrigation and Livestock's Development Programs, a key driver of economic growth for the foreseeable future and (2) mitigates the impact on construction and transportation either by directly providing opportunities for these sectors, or indirectly by bolstering sectors which will require construction and transportation services.

Promote Job Growth. Because business growth is the primary mechanism for creating jobs, CERP projects should focus on maximum job growth by providing technical capacity to small businesses; vocational training to target sectors, and supporting efforts that advance economic corridors. These strategies should combine to provide a sustainable approach to promoting job growth.

Understand the Challenges of Sustainment and Address Them. Sustainment goes beyond a memorandum signed by a GIRoA official. We must determine operational and maintenance requirements during project development and include approaches such as de-scoping and simplification or alternate designs to make them sustainable by Afghans. We must also assess capacity to actually

conduct maintenance and look at the success of similar projects; stay away from complex projects with large sustainment tails and consider the project's incremental impact on the total sustainment costs of all projects in the area. Project identification and detailed development are the keys to success. Planning and executing a project for sustained economic benefit is significantly different than executing for shorter-term COIN effects.

Develop Your CERP Economic Spend Strategy. Chapter 5 in the CERP MAAWS-A provides guidance on how to execute CERP in support of responsible economic transition. With your knowledge of the dynamics and challenges within your area of operations, develop a strategy specific to your battle space. As noted in the COMISAF COIN Contracting Guidance, purchases we make for goods and services can contribute to economic growth, stability, and Afghan goodwill toward their government and ISAF. Contracting with Afghan firms and buying Afghan goods and services generates employment and assists the development of a sustainable economy.

Maintain the Momentum and Seek Alliances. The Afghan economy has shown strong growth, but our retrograde operations will begin soon. Use CERP wisely and with economic precision as a tool to counter the potential negative effects of retrograde operations. Analyze your capacity to execute and implement measures to maintain the appropriate level of resources. Avail yourself of the technical expertise present in military and civilian entities to perform "deep dive" economic analysis to select and assess projects. Our partners – Afghans, U.S., and international communities, must be brought in before CERP projects begin. Our civilian counterparts in the field, including U.S. Department of Agriculture, U.S. Agency for International Development, U.S. Department of Commerce, and others are ready and poised to be your partner. They are important resources that will help us achieve our ultimate goals.

Thus far, CERP projects have been executed to support the USFOR-A Campaign Support Plan, "Support Sectors Targeted for Development," "Promote Job Growth," and "Advance the Economic Foundation" but not as part of a formal strategy or measured in terms of attaining strategic objectives and goals. This MAAWS-A SOP provides the details on narrowing potential CERP projects to five categories (from 20) that are best suited to support our counterinsurgency objectives and refines the list of recommended project types within each category based on desired effects and synchronization within the Campaign Support Plan.

CERP is a commander's program and should continue to provide the flexibility needed to respond to the operational environment. These projects are an important contributor to the three pillars of stability (security, governance and development) and are vital to the COIN strategy. To increase economic stability, targeting three basic objectives and focusing on five key project categories can provide inputs to facilitate Afghanistan's economic growth and contribute to a successful transition in 2014 and beyond.

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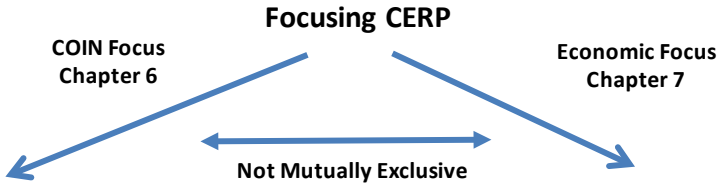
INTRODUCTION FOR CERP PLANNERS AND EXECUTORS

The Money As A Weapon System - Afghanistan Commander's Emergency Response Program Standard Operating Procedure supports the United States Government Integrated Civilian-Military Campaign Plan and ISAF Theater Campaign Plan (TCP). The Theater Campaign Plan lists objectives that include improving governance and socio-economic development in order to provide a secure environment for sustainable stability that is observable to the population. CERP provides an enabling tool that commanders can utilize to achieve these objectives. This is accomplished through an assortment of projects planned with desired COIN effects such as addressing urgent needs of the population, promoting GIRoA legitimacy, countering Taliban influence, increasing needed capacity, gaining access, building/expanding relationships, promoting economic growth, and demonstrating positive intent or goodwill.

The SOP recognizes and addresses the challenges that lie ahead as we continue the momentum of our campaign and through the challenges of transition. This revision implements policy changes, which are summarized within the summary of changes, to help improve oversight and management and incorporates the lessons we have learned to include measures adopted from the recommendations of various audits. Additionally, a broad spectrum of collaboration and research from several organizations and agencies was used to provide guidance as you plan CERP projects.

THE OPERATIONAL ENVIRONMENT

As we work towards transition, it is imperative that we continue to enable the Afghan government with the capacity required to provide essential services and address the needs of the population. Carefully planned and executed CERP projects designed to enhance these efforts will contribute immensely to the success of our mission. Our counterinsurgency campaign has made tremendous gains at great cost. The scale of our operational spending has provided significant economic benefits throughout the country. However, as we begin to transition, the decline of our force presence and retrograde operations will affect the Afghan economy. These impacts could induce an economic downturn that threatens to reverse some of our hard-won achievements. A weakened economy increases the risks associated with transition and sends a negative message about the effectiveness of the Afghan Government. If we plan wisely and act quickly, we can lessen the risk of these negative consequences and turn our retrograde into an opportunity to spur the Afghan economy towards a sustainable and robust growth path. Recognizing that we still have a counterinsurgency requirement and must leverage CERP to mitigate the economic impact caused by retrograde operations, we have included two additional chapters that will serve as a guide to balance your resources as needed. As indicated in the diagram below, focusing CERP along two key avenues provides the inputs needed to increase stability, promote economic growth, and contribute to a successful transition in 2014 and beyond.



Primary Focus –
CDR's Tool to Influence Battlespace
& Achieve COIN Effects

•Urgent needs of the population
•Gain access or influence
•Input into the pillars of stability
•Flexibility to apply as needed
•Local economic stimulus

Challenges
•Reduced capacity to execute –
•limited ability to add additional resources
•Do not want to force spending –
•Focus on smaller; easy to manage projects
•Will leave money on the table

Primary Focus –
Tool to Mitigate Impact of Reduced Spending
(Doing Our Part)

•Current obligation rates will leave money on the table
•Focus these funds on the economy (What can we do **for** the economy?)
•Transitioning provinces have key economic sectors – helps maintain Govt't legitimacy as well
•Detailed project development is key for achieving sustained economic effects – use SMEs

Examples
•Agriculture expansion projects - irrigation
•MoF training to increase budget execution
•Training to increase project management capacity
•Vocational training to increase skilled labor pool
•Improve business value chains to promote growth

PLANNING CERP FOR COIN EFFECTS

Chapter 6 includes guidance developed by the ISAF Counterinsurgency Advisory and Assistance team. It was developed to assist planners with selecting the right projects and developing an execution strategy to meet counterinsurgency objectives. Included are examples where the principles were applied desired COIN effects were achieved.

a. CERP AS A Tool. CERP is a vehicle to address causes of instability through fostering positive, interdependent relationships between the Government of the Islamic Republic of Afghanistan (GIRoA) and key populations. The program also helps the coalition alleviate human suffering without conditions or impartiality and create a positive impression of coalition forces and the GIRoA, and help them understand that GIRoA is a better alternative to deliver the government services that is typically expected from the government by local Afghans. Page 122 paragraph 2 describes that as we retrograde the major limiting factor to continue delivering this capability will be the ability to execute and oversee projects rather than limited funding. The more technically challenging the project, the greater the need for direct presence to ensure quality. Less complex projects, by contrast, can reduce coalition forces direct presence while ensuring greater COIN effects.

b. SELECTING PROJECTS FOR COIN EFFECTS. Page 119 paragraph 3 describes that once the mission analysis has identified the underlying conditions of instability, commanders must integrate all available tools to achieve the desired effects. The

project must address the community needs and demonstrate GIRoA's involvement for increased legitimacy. Along these lines criteria should include government contribution to the project, community ownership, and be free of uncertainties that would discredit the coalition or GIRoA. We must avoid starting projects that are too complex to complete, do not benefit or contribute to community employment, or cannot be sustained and staffed to deliver the desired effect.

c. **EXECUTING PROJECTS FOR COIN EFFECT.** Page 122 paragraph 2 details that when writing a request for proposal and the statement of work, the criteria for selecting and achieving the desired effects must remain the primary objective. A project where the local population will benefit from the developed capacity and is employed by the selected contractor will enable community involvement and ensure that the project is built to local standards. It may be necessary to include vocational training or additional contracted oversight to achieve this objective, but a project that has a local population that has been taught to build and maintain, increases likelihood that the project will be successful. During project development every effort should be made to ensure that the government has the budget to sustain the project to include providing appropriate staffing levels. Lastly, measures of performance and measures of effectiveness are an integral part of the project.

PLANNING CERP FOR ECONOMIC EFFECTS

Chapter 7 provides guidance that planners may want to consider in developing an economic strategy focused on promoting economic growth. Virtually every aspect of the Afghan economy is in need of development and several long-term strategies have been presented. However, the existence of a short-term strategy to address more immediate concerns appears to be lacking and as the challenges of operational spending in support of economic growth become more evident, the importance of military assistance funding such as CERP that can be applied with economic precision increases. While the magnitude of these funds is significantly smaller than our operational spending, the ability to focus these funds specifically for sustained economic growth provides an opportunity for the development of a strategic approach consistent with available resources and appropriate for military involvement.

While all of CERP spending has a positive economic impact to a certain degree, a more precise application is required given the potential economic slowdown in Afghanistan resulting from force reductions and other policy actions. CERP is not intended to be a long-term development program, but supporting and focusing CERP on one aspect of economic development such as promoting growth seems feasible. A potential strategy that aims to focus CERP in a manner that promotes sustainable economic growth and lessens the impact of reduced DoD spending is described in Chapter 7 (page 132) and presents a building block of three basic objectives that feed into the overall goal of facilitating increased economic growth. Planning and executing a project for sustained economic benefit is significantly different than executing for shorter-term COIN effects. Leveraging the correct subject matter experts will ensure that the commander has the

best decision making information available and develops the best execution strategy. Coordinating with the stakeholders reduces duplication of effort and increases everyone's success rate. The resources are available, both organic to the force and within the international community. This guidance will assist planners in developing a strategy that targets sectors with greatest impact on the economy and selecting projects that have the greatest potential for promoting sustainable economic growth.

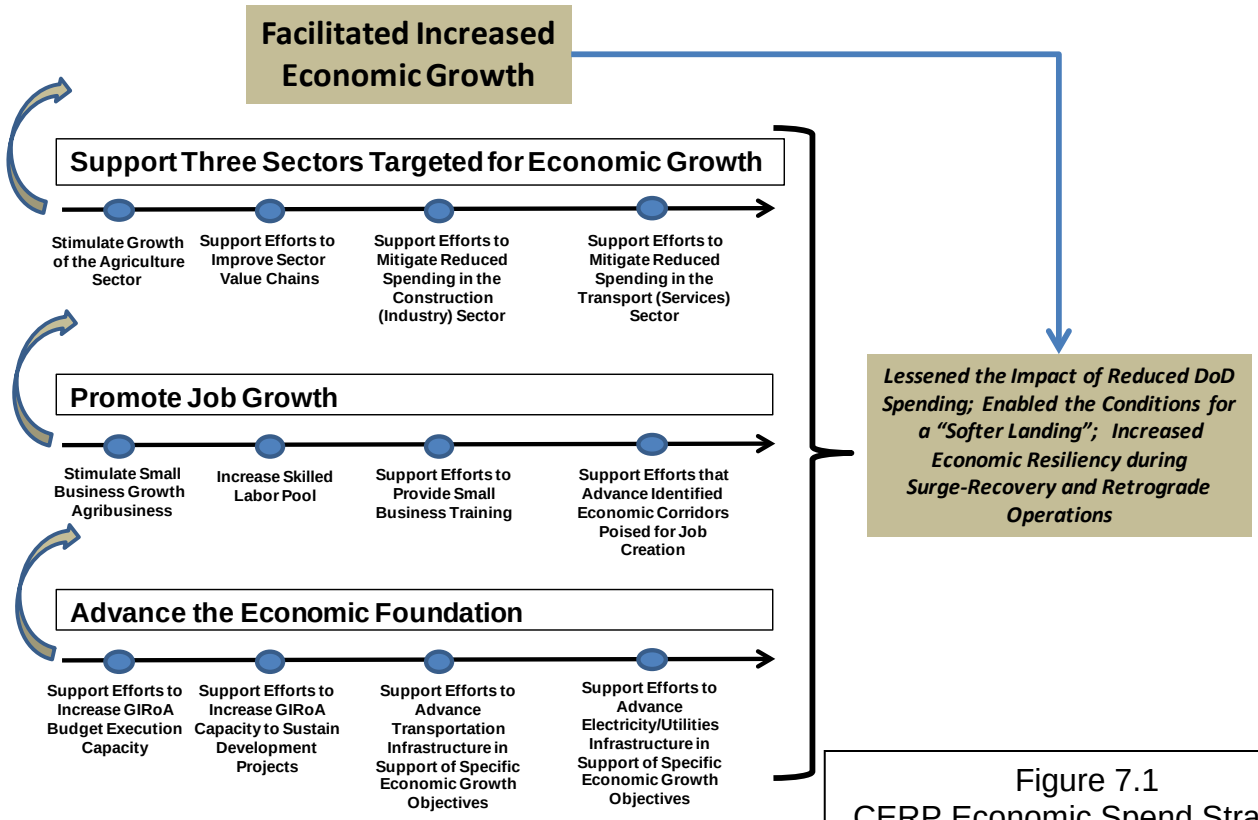


Figure 7.1
CERP Economic Spend Strategy
Page 132

CERP APPROVAL PROCESS FOR PROJECTS OVER $1 MILLION

Chapter 2 describes an improved CERP Review Board (CRB) process with increased project assessment and scrutiny of proposed projects. Using stated criteria from the DoD Financial Management Regulation an objective and measurable methodology to evaluate each project over $1Million to ensure projects meet CERP criteria prior and to assess risks associated with the potential for a project to fail in execution, sustainment, or achieving desired effects. The new process includes three primary steps: (1) A required Go/No-Go decision point on key criteria that terminates the project for incompleteness with a No-Go (nominator must resubmit); (2) The establishment of clear project parameters to provide better assurance that projects meet the intent of CERP; and (3) The implementation of a weighted risk assessment tool to assess viability and sustainability of CERP projects. An example of an improved project management plan is

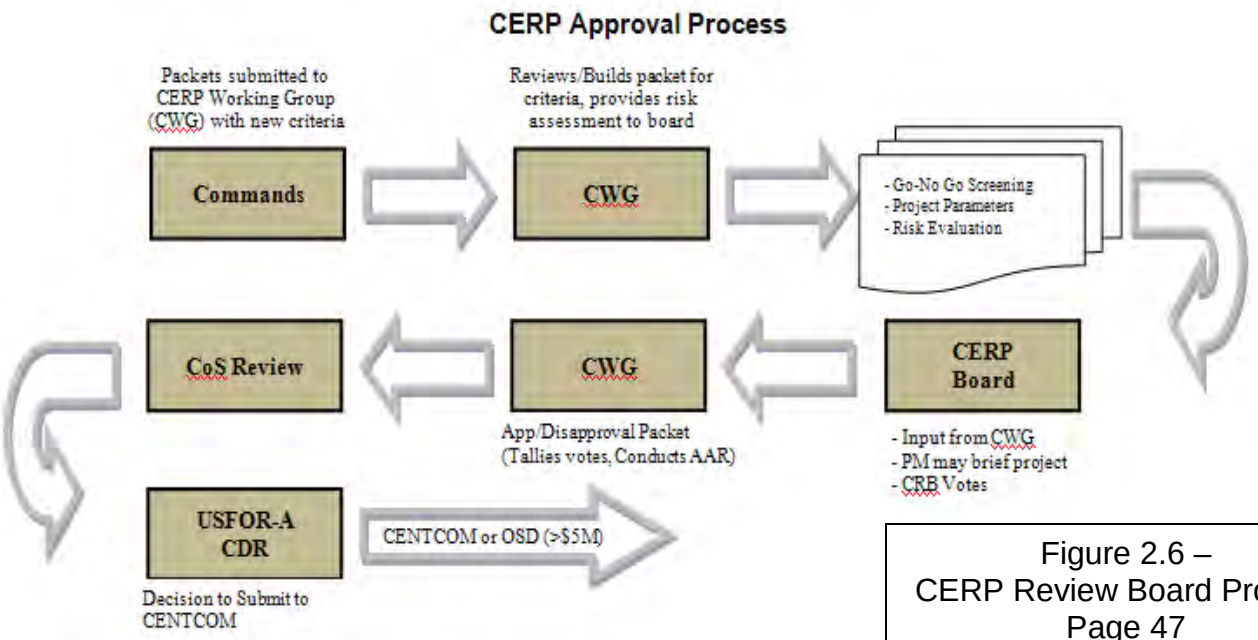


Figure 2.6 –
CERP Review Board Process
Page 47

provided to help in the development of CERP packets and to address the project parameters that will be assessed for risk.

NEW CERP CATEGORY: GOVERNMENT AND SMALL BUSINESS CAPACITY BUILDING

In order to better support economic growth, the Urgent Small Business Improvements category has been changed to “Government and Small Business Capacity Building” and includes an expanded list of projects types (page 7 & 170). Of importance is understanding the distinction between microgrants and small business grants. Small business grants are aimed at promoting job growth by providing an established small business with additional capital to expand operations and output. These are businesses that have demonstrated success to include financial discipline and evidence of managing debt. The micro-grant program was purposed to provide financial assistance to disadvantaged entrepreneurs lacking independent wealth or unable to access sufficient business credit with a primary focus on supporting humanitarian relief. In most cases, these types of assessments will need the input of a small business development expert. Additionally, a technical assessment may determine that the execution of a CERP project vice a grant may be a preferred alternative. For example, a small business owner is requesting a grant to improve reliable power to his warehouse for increased cold storage capacity. In this case a CERP project should be considered.

Government and Small Business Project Types:

- Support GIRoA Budget Training Events
- Increase Skilled Labor in Finance, Accounting, Budget Management (Vocational Training)
- Increase Skilled Labor in Project Management and Development Planning (Vocational Training)
- Increase Sustainment and Maintenance Capacity
- Small Business Grants – Increase max to $50,000 with Scaled Approval Thresholds (Preference is Established Small Businesses Poised for Growth as Opposed to Start-Ups)
- Small Business Vendor Shuras
- Vocational Training to Local Nationals Working on Bases Identified for Closure
- Business Planning and Management Training to Include Preparing Bids
- Projects to Increase Small Business Market Places

ADDITIONAL CONSIDERATIONS

Do the heavy lifting up front. Project identification and detailed development are the keys to success. Planning and executing a project for sustained economic benefit is significantly different than executing for shorter-term COIN effects. Deep dive economic analysis and project development requires technical expertise. The resources are available, both organic to the force and within the international community. Identify them, build the collaborative teams, and work toward the same goal of achieving success.

Look beyond dollars spent and number of projects executed. Invest time in developing precise economic measures of effectiveness (i.e. what are the desired economic results and how do we know when we have achieved them) and then take the time execute and assess the measurements. We have done a poor job in this regard; now is the time to get it right. If we cannot determine how to measure the effectiveness of a project, then we should not do it.

Act now. Time is not on our side. Projects take time to execute and effects may be downstream. Think in terms of months and not fiscal years. We must maintain the momentum of our efforts. The Afghan economy has shown strong growth, but our retrograde operations will begin to take hold in short notice. Use CERP wisely and with economic precision as a tool to counter the potential negative effects. Analyze your capacity to execute and implement measures to maintain the appropriate level of resources.

Get the story out. Talk of an impending economic disaster will unnerve the population, donors, and investors. We must communicate and demonstrate we are doing our part by executing a responsible economic transition as we seek to promote a robust Afghan economy in 2014 and beyond.

CONCLUSION

Counterinsurgency and economic development effects will continue to be important to a successful and responsible transition. The incremental requirement comes at a time when we know that there will be less government personnel available to manage and oversee projects. The changes to the CERP approval process were made to help commanders make informed decisions and avert applying funds and available project management capacity to projects that are not likely to achieve CERP program objectives or have a high probability of failure. Coordination and collaboration will also help planners avoid duplication of effort. Leveraging the right subject matter experts will improve the project identification and project development process and avoid waste. This will ensure that our limited capacity and funding is applied to sustainable projects that have high impact and are likely to succeed.

This publication provides additional guidance such as the COIN and Economic chapters and also increases enabling authorities such as increased authority for small business grants. It was developed to assist planners in supporting their commander's objectives.

MAAWS-A CERP
MARCH 2012
SUMMARY of CHANGES

USFOR-A Pub 1-06
Money As A Weapon System Afghanistan, Commanders Emergency Response Program Stardard Operating Procedure

This revision updates guidance as required to comply with OSD policy changes, corrects quality and control weakness to improve project data in CIDNE, requires additional planning for project sustainability, and provides guidance to commanders on how to improve COIN effects and leverage CERP to mitigate the impact of our reduced spending on the Afghan economy.

Policy Changes:

1. Duration of CERP projects should not exceed 12 months
2. Temporary Guards for Critical Infrastructure will be phased out by March 2013
3. Other Humanitarian Assistance Category is limited to restocking Humanitarian Assistance Yards
4. Construction projects over $200,000 must include a detailed sustainment plan prior to obligation of CERP funds and must demonstrate that GIRoA planned for staffing and sustainment funds
5. Condolence Payment are limited to $5,000 per individual and can be raised to $7,500 with approval of the senior U.S. commander in the Regional Command
6. Entertainment and Shuras limited to $500 per event or $5 per planned attendee and must be directly related to the planning or execution of a CERP project
7. Battle Damage Payments are limited to $5,000 per individual and can be raised to $10,000 with approval of the senior U.S. commander in the Regional Command
8. Details responsibilities to maintain the integrity of the CERP project management database

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New Processes:

1. CERP projects above $1,000,000 will require additional planning prior to evaluation by the USFOR-A Board; UFSOR-A Board is augmented by a CERP Working Group to conduct deep dive analysis on proposed projects
   Enhanced Project Management Plan is added to document planning and includes: project management risk, sustainability plan, turnover plan, and data management plan
2. Quality Control and Quality Assurance responsibilities are assigned to key CERP executing personnel to improve project data in CIDNE

Guidance to Improve COIN Effects:

1. Provides COIN criteria for selecting projects
2. Disucsses role of project management in executing projects for COIN effects

Guidance to Support Responsible Economic Transition:

1. Provides Commanders with guidance to mitigate economic impacts caused by our reduced spending or base closures
2. Recommends an economic spend strategy
3. Illustrates a menu of project types that can provide sustained economic impacts

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CHAPTER 1: CERP OVERVIEW

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REFERENCES

The pertinent guidance in the references listed below is incorporated into this section of the MAAWS-A. This section of the MAAWS-A shall be the primary source of guidance used to manage CERP, unless overridden by higher authority.

A. Under Secretary of Defense (Comptroller) (USD(C)) memorandum, subject: Commander's Emergency Response Program (CERP) Guidance, January 2009.

B. United States Army Central Command (USARCENT) memorandum, subject: USARCENT Commanders' Emergency Response Program (CERP) Guidance, 16 July 2008

C. Department of Defense Directive 5500.7-R, Joint Ethics Regulation, 29 November 2007

D. Department of Defense Financial Management Regulation 7000.14-R, Volume 12, Chapter 27, January 2009, Commander's Emergency Response Program (CERP)

E. Department of Defense Financial Management Regulation 7000.14-R, Volume 5, Chapter 2, Disbursing Officer, Officers and Agents (June 2008); Chapter 3, Keeping and Safeguarding Public Funds (October 2006); Chapter 9, Supporting Documents to Payment Vouchers (January 2005); Chapter 11, Disbursements (May 2008); and Chapter 33, Accountable Officials and Certifying Officers (April 2005).

F. House of Representatives Committee on Appropriations, Defense Subcommittee, memorandum to the Secretary of Defense, Robert Gates, 15 July 2009.

G. United States Central Command (USCENTCOM) memorandum, subject: Concerns Regarding the Planning, Execution, and Management of the Commander's Emergency Response Program (CERP), 8 September 2009.

H. United States Forces-Afghanistan (USFOR-A) Fragmentary Order (FRAGO) 09-252, 031727Z Nov 09, subject: Publicizing the Changes to the USFOR-A Commander's Emergency Response Program (CERP).

I. H.R. 1540 - FY12 National Defense Authorization Bill, p 27-389

J. COMIJC OPOMID 1390 Annex QQ – Investment and Purchasing Guidelines

K. CENTCOM Contracting Command Acquisition Instruction, 01 January 2011

L. USFOR-A FRAGO 10-208 221541ZAUG10, Subject Reduction of Cash in the CJOA

M. COMISAF's Counterinsurgency (COIN) Contracting Guidance, 18 September 2011

N. Army Regulation 27-20, Claims

PURPOSE

A. The Commander's Emergency Response Program (CERP) is a U.S. Commander's program.

B. The authority to spend Title 10 funds on CERP authorizes United States military commanders in Afghanistan to carry out small-scale projects designed to meet urgent humanitarian relief requirements or urgent reconstruction requirements within their area of responsibility to provide an immediate and direct benefit to the people of Afghanistan. The purpose of CERP is to enable U.S. Commanders to respond to urgent **civil support relief** and **reconstruction** requirements within their Area of Responsibility (AOR) by carrying out programs that will immediately assist the indigenous population. "*Urgent*" is defined as any chronic or acute inadequacy of an essential good or service that, in the judgment of the **local commander**, calls for action and supports his/her COIN objectives. CERP is intended for execution of projects that can be sustained by the local population, an Afghan agency, or the Afghan government.

C. The USFOR-A Commander's intent is to establish and execute refined **project evaluation *a*nd validation criteria** f**or appropriate** uses of CERP to achieve maximum efficiency, economy, and the effectiveness of overall project lifecycle management***.*** The formulated criteria should aid in examining, but not automatically preclude, large-scale projects (>$1M), that meet urgent **counterinsurg**ency (COIN) objectives. The USFOR-A Commander strives to achieve **focused effects** while working directly with the Government of the Islamic Republic of Afghanistan (GIRoA) from project acceptance to follow-on maintenance and sustainment **Commanders should be actively engaged** in their own CERP program; executing projects resulting in measurable effects that support **COIN objectives**. Commanders should consider CERP projects that provide employment opportunities for the Afghan people. Moreover, Commanders should ensure project justifications provide facts which accurately describe the status quo, any issues that exist with the status quo, and then articulate how the CERP project is the solution to reach the desired end state. For significant infrastructure and development projects, Commanders must

ensure the justification clearly defines and properly articulates the how the project supports COIN objectives, in order to differentiate the CERP project from projects better suited for execution by other agencies such as U.S. Agency for International Development (USAID), U.S. State Department and non-governmental organizations. Ultimately, Commanders need to evaluate how projects can add value to the local community in order to build capacity, promote peace and hope for future generations, and build trust and lasting support for the GIRoA. Close coordination between commanders, engineers, civil affairs specialists, resource managers, judge advocates, contracting officers, and medical professionals is vital to ensure CERP projects achieve desired effects.

D. Additionally, CERP projects need to be **properly documented** and **continually monitored and maintained** from project nomination to closure/turnover in the Combined Information Data Network Exchange (CIDNE) database (or any future unclassified reporting system), to include the uploading of complete project files. All CERP projects that require CENTCOM or OSD approval must be loaded in the CIDNE SIPR database. Finally, CERP funds must be properly **accounted** for and **reported** accurately to higher headquarters.

PROGRAM OVERVIEW

A. U.S. Commanders, regardless if they own battle space or not, can utilize CERP within their areas of responsibility. However, those U.S. Commanders who do not own battle space must coordinate with the battle space owner (BSO) to ensure that the BSO is aware of what CERP projects are occurring in his or her area of operations (AO).

B. U.S. Commanders, regardless of whether they own battle space, must coordinate with their servicing Resource Management Office to ensure that there is a process for receiving CERP funds in order to execute projects.

C. Commanders at all levels are responsible for the success of the CERP and must ensure that their personnel comply with guidelines prescribed in this SOP and higher authority.

D. Commanders will ensure that CERP projects focus primarily on:

1. Achieving Commander's COIN Objectives

2. Projects that can be sustained by the local population or government.

3. Reconstructing structures or property damaged during specific military operations to rapidly improve conditions such as repairing homes, roads, and mosques.

4. Making emergency repairs on critical facilities such as hospitals, water treatment facilities, and electrical plants.

5. Foster local economic development: micro-grants, small business grants, agricultural improvements (wheat seed distribution, fruit saplings, etc.) and other Commander's small-scale projects.

6. Resolving small-scale critical infrastructure shortfalls that can be rapidly repaired, such as: bridges, security walls, and irrigation systems.

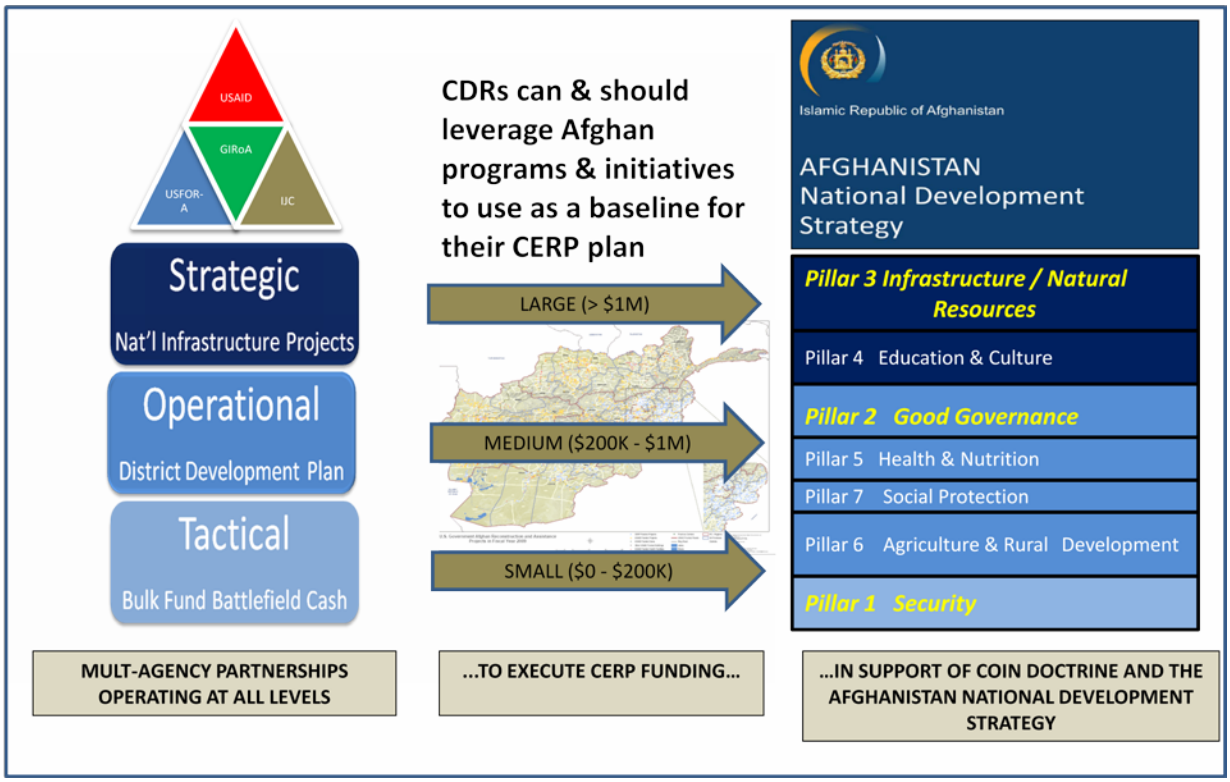
7. Reducing the risk of injury and disease to the local populace by constructing security barriers, removal of trash and sewage, and installing traffic control and other warning signs.

8. Procuring critical equipment to replace lost, stolen, non-repairable items and to establish critical community essential services; such as new parts for a water pump or backup generators for a hospital.

9. Use of Afghan-First contracting authority and policy when issuing contracts for CERP projects.

Commanders will have their Project Managers communicate and develop relationships with local GIRoA officials and ministry representatives in their battle space to ensure that their CERP program is increasing the capacity, confidence, and the development of the GIRoA. Commanders can have their CERP personnel link up with different ministries and programs to include the GIRoA's National Development Strategy (NDS) (shown visually below), the Ministry of Education's (MoE) Strategic Education Program, the Ministry of Rural Rehabilitation's (MRRD) National Solidarity Program, and many others to maximize the affect of their CERP program on the enhancement of the GIRoA. These are just some **examples** of how this can be accomplished.

Figure 1.1
Example: How to Utilize CERP with the GIRoA's NDS



E. The overall program coordinator is USFOR-A J9. The role of the USFOR-A J9 is to provide policy oversight, training, and guidance on CERP project execution. USFOR-A J9 will ensure Commanders and Program Managers develop tangible performance metrics to measure effectiveness of projects. Additionally, they will develop theater-wide guidance on how to appropriately manage CERP projects from initiation to completion or turnover to the GIRoA. USFOR-A J9 will be responsible for ensuring project execution procedures comply with applicable rules and regulations governing the execution of CERP. USFOR-A J9 will conduct Staff Assisted Visits (SAVs) to ensure each Regional Command is properly trained on current guidance, they are operating in accordance to the current guidance, and have proper management controls in place.

F. ISAF/IJC will coordinate CERP related initiatives and FRAGOs with USFOR-A J9 to ensure efforts are in synch with commander's priorities. Subordinate organization supplements or fragmentary orders may further restrict use of CERP from the MAAWS-A, but may not overrule or broaden authorities/procedures.

G. USFOR-A J8 will provide guidance on fiscal matters related to CERP projects and ensure fiscal compliance in accordance with applicable law, guidance, and policy. They will coordinate with CERP Program Managers and other functional leads (RCs, J3/5 non-kinetic, SJA, ENG, & J9) when developing CERP distribution proposals and adjustments. USFOR-A J8 will develop theater-wide

processes and procedures to ensure accurate recording of CERP expenses by verifying all information is logged in the CIDNE database (*will be accomplished by their CIDNE Quality Assurance Managers (previously known as checkbook managers*)). The J8 will also maintain proper accounting and reporting for CERP expenditures. USFOR-A J8 will coordinate with J9 in the program management of CERP.

H. CERP Program Managers at the Brigade level and higher (USFOR-A Detachment (Det), Regional Command (RC), and USFOR-A) will conduct a monthly meeting or non-lethal effects working group with functional representatives to include contracting, engineering, legal, financial services, and resource management. This meeting will serve as a venue for information sharing and streamlining processes. These key functional members must ensure that CERP is set up for success in their area of operations. Relevant meeting notes will be shared up and down the area CERP execution community.

I. Requests for Exception:

1. The proponent of this regulation is the USFOR-A J9. The USFOR-A J9 Special Programs office is the point of contact for policy clarification or for exception to policy submissions. A submission must be consistent with controlling laws and regulations. The USFOR-A DCDR-S is the approval authority for any exceptions to this SOP.

2. Units may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the unit's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting unit and forwarded through their regional command to USFOR-A J9.

AUTHORIZED USES OF CERP

A. The authorized uses of CERP are listed below. For more information on each category and examples within each category, reference Annex A.

1. **Agriculture:** Projects to increase agricultural production or cooperative agricultural programs. This category includes irrigation systems.

2. **Battle Damage Repair**: Projects to repair, or make payments for repairs, of property damage resulting from U.S., coalition, or supporting military operations and is not compensable under the Foreign Claims Act. See Annex A for more details.

3. **Civic Cleanup Activities:** Projects to cleanup public areas; area beautification.

4. **Civic Support Vehicles:** Projects to purchase or lease vehicles by public/government officials in support of civic and community activities.

5. **Condolence Payments:** Payments to individual civilians for the death or physical injury resulting from specific U.S., coalition, or supporting military operations not compensable under the Foreign Claims Act. See Annex A for more details.

6. **Government and Small Business Capacity Building:** Small-scale projects to support small business activities, such as refurbishment of bazaars and small business microgrants.

7. **Education:** Projects to repair or reconstruct schools, or to purchase school supplies or equipment.

8. **Electricity:** Projects to repair, restore, or improve electrical production, distribution, and secondary distribution infrastructure. Cost analysis must be conducted so the village or district may collect revenue to ensure operation and maintenance of the system for long-term use.

9. **Food Production & Distribution:** Projects to increase food production or distribution processes to further economic development.

10. **Healthcare:** Projects to repair or improve infrastructure, equipment, medical supplies, immunizations, and training of individuals and facilities in respect to efforts made to maintain or restore health especially by trained and licensed professionals.

11. **Internally Displaced Person (IDP) Payments:** One-time payment to facilitate transportation and/or subsistence for Afghans displaced by U.S. military operations.

12. **Other Urgent Civil Support or Reconstruction Projects:** Small-scale civil support projects not captured under any other category, including tents, tarps, plastic sheeting, other temporary construction materials, blankets, clothes, shoes/boots, coats, gloves, sanitation/hygiene kits, subsistence food items, stoves, coal, heating/cooking fuel, and temporary sanitation facilities. Note: The approval level for bulk purchases of “stock” small, civil support supplies (such as for the “CERP funded civil support relief” in Afghanistan) shall be based on a DA Form 3953 with an estimate of the needs for the entire fiscal year.

13. **Protective Measures:** Projects to repair or improve protective measures to enhance the durability and survivability of a critical infrastructure site.

14. **Repair of Civic & Cultural Facilities:** Projects to repair or restore civic or cultural buildings or facilities.

15. **Governance:** Small-scale projects to repair government buildings such as administrative offices, court houses, and district centers.

16. **Telecommunications:** Projects to repair or extend communication over a distance. The term telecommunication covers all forms of distance and/or conversion of the original communications, including radio, telegraphy, television, telephony, data communication, and computer networking. Includes projects to repair or reconstruct telecommunications systems or infrastructure.

17. **Temporary Contract Guards for CERP projects:** Temporary contract guards to protect CERP projects while they are being executed.

18. **Transportation:** Projects to repair or restore transportation to include infrastructure and operations. Infrastructure includes the transport networks (roads, railways, airways, canals, pipelines, etc.) that are used, as well as the nodes or terminals (such as airports, railway stations, bus stations, and seaports). These operations deal with the control of the system, such as traffic signals and ramp meters, railroad switches, air traffic control, etc.

19. **Water & Sanitation:** Projects to repair or improve drinking water availability, to include purification and distribution. Building wells in adequate places is a way to produce more water, assuming the aquifers can supply an adequate flow. Other water sources such as rainwater and river or lake water must be purified for human consumption. The processes include filtering, boiling, distillation among more advanced techniques, such as reverse osmosis. The distribution of drinking water is done through municipal water systems or as bottled water. Sanitation, an important public health measure that is essential for the prevention of disease, is the hygienic disposal or recycling of waste materials, particularly human excrement.

UNAUTHORIZED USES OF CERP

A. CERP cannot be used for the following purposes:

1. **Direct or indirect** benefit to U.S., coalition, or other supporting military personnel.

2. Providing goods, services, or funds to national armies, National Guard forces, border security forces, Afghan Local Police (ALP), ALP recruits, civil defense forces, highway patrol units, police, special police, or intelligence or other security forces (except temporary contract guards for CERP funded projects).

3. Weapons buy-back programs or other purchases of firearms or ammunition, except as authorized by law and separate implementing guidance.

4. Entertainment and Shuras (except light refreshment costs, limited to $500 per event or $5 per planned attendee (whichever is less), shuras must be directly related to the planning or execution of projects designed to meet urgent civil support relief requirements or urgent reconstruction requirements.

5. Reward programs.

6. Removal of unexploded ordnance or any other type of explosive device. Including IEDs (unless incidental to construction or agricultural development associated with a CERP project).

7. Duplication of services available through municipal governments.

8. Salaries, bonuses, or pensions of Afghan military personnel or Afghan government civilians.

9. Training, equipping, or operating costs of Afghan security forces (including medical support).

10. Conducting psychological operations, information operations, or other U.S., Coalition, or Afghan Security Force operations.

11. Support for personal security details.

12. Funding support to International Organizations or Non-Governmental Organizations. (These organizations, however, may be contracted to execute specific, approved CERP projects.)

13. Loan capital for lending operations, (to include microloans and other financing), or support to the operations of any financial institution.

14. Projects that have not been approved by a U.S. military official.

15. Support to individuals or private businesses (exception: condolence, battle damage, former detainee, and Afghan hero payments, and micro-grants).

16. Purchasing goods or services from any U.S. trade-sanctioned nation.

17. Stipends for trainees of CERP-funded education or training programs.

CHAPTER 2: CERP STRUCTURE

1. ROLES AND RESPONSIBILITIES
2. PROGRAM MANAGEMENT
3. APPROVAL THRESHOLDS
4. PROCESS AND PROCEDURES
5. CERP WORKING GROUP
6. CERP REVIEW BOARD
7. QUALITY ASSURANCE AND QUALITY CONTROL
8. CONTINGENCY SITUATIONS

ROLES AND RESPONSIBILITIES

A. **USCENTCOM Commander:** The USCENTCOM Commander is the overall Program Manager of the CERP within the USCENTCOM AOR. The Commander advocates for appropriate resources and authorities in support of the theater's Overseas Contingency Operations mission including the CERP. The Commander reviews quarterly CERP reports submitted to OSD ensuring Field Commanders' uses of CERP are consistent with the intent of the program, maximize the benefits to the local population, and best influence conditions on the ground - achieving COIN objectives. Finally, the USCENTCOM Commander, or delegated authority, will approve all projects greater than or equal to $1M for the Theater of Afghanistan, once reviewed and recommended for approval by the USFOR-A Commander. The USCENTCOM Commander, or delegated authority, will recommend for approval any project equal to or greater than $5M for submission to the Office of the Secretary of Defense.

B. **USFOR-A Commander:** The USFOR-A Commander is the overall Program Manager of the CERP within Afghanistan. The Commander shall publish guidance identifying objectives and shall coordinate reports for submission to higher authorities. **Annually**, the Commander will publish the Commander's CERP execution guidance, consistent with SOP, laws, and regulations, illustrating his priorities regarding COIN objectives and civic assistance within theater. The Commander, or delegated authority, as determined will approve all projects less than $1M and recommend for approval all projects equal to or greater than $1M for submission to the USCENTCOM Commander.

C. **Regional Command (RC) Commander:** United States RC Commanders will provide specific CERP guidance in the form of commander's intent to subordinate units/CERP Program Managers who manage/execute CERP projects within their region. This guidance must be consistent with applicable laws, regulations, and current MAAWS-A CERP SOP. US RC Commanders identify and approve CERP projects within his/her approval authority and forward actions to their next HHQ that require approval by higher authority. US RC Commander's must ensure proper management, reporting, and fiscal controls

are in place to properly account for CERP funding. Additionally, US RC Commanders will appoint a CERP Program Manager to serve as the primary POC between the RC and USFOR-A (the Program Manager position description, detailed duties, and appointment procedures are found in Annex B of this SOP). If a Regional Command is not US Commanded, a senior US officer working in the geographic area will be appointed by USFOR-A as the CERP approval authority.

D. **Non- Battlespace Owning Agencies**: The senior US Commander of units or agencies not tied to a geographic area have CERP approval authority as described in this SOP or otherwise delegated in writing from an appropriate US CERP authority. Unless a delegation of CERP authority is specifically cited within this SOP, CERP approval authority delegation letters are valid for a period not to exceed one year.

E. **O-5 – O-6 U.S. Commander:** The Commander identifies and approves CERP projects within his/her approval authority and forwards actions that require approval by higher authority. The Commander must ensure proper management, reporting, and fiscal controls are in place to properly account for CERP funding. The Commander will develop a CERP utilization plan for their specific AO and provide his/her intent and guidance to his/her CER Program Manager. The Commander will appoint, in writing, his/her CERP Program Manager, Project Manager(s) (PM), Contracting Officer's Representative (COR), Project Purchasing Officer(s) (PPO), and Paying Agent(s) (PA). These individuals will be appointed upon successful completion of all applicable training provided by the appropriate entities. *(See Annex D for position descriptions, detailed duties, and appointment procedures).* The Commander will take reasonable assurances that the PROJECT MANAGER (PM) and PO are not over-extended and projects are commensurate with their skill set. The Commander will also ensure that every PA entrusted with CERP funds is provided a vault, safe, or other adequate secure facility (in accordance with DoD FMR 7000.14-R, Volume 5) for their exclusive use. **The Commander must ensure their Project Managers, Purchasing Officers, and Paying Agents serve in accordance within the DoD FMR and MAAWS-A CERP SOP.**

F. Commanders at all levels will ensure that local, national, donor nation, non-government organization, or other aid or reconstruction resources are not reasonably available before CERP funds are used.

G. **The Resource Management (RM) Office:** The RM Office certifies the availability of funds, ensures proper resource management and fiscal controls, and will monitor unliquidated obligations (ULOs) to ensure 100% disbursement and/or the de-obligation of unexecuted funds in order to maintain an accurate accounting system. Reference CH 3 for Resource Management Office responsibilities. **The RM Office must ensure that proper documentation is in CIDNE prior to providing funding to the executors.** The RM Office will provide a monthly CERP funding requirement estimate (spend plan) to USFOR-A

J8 by the 5th of each month. A Mid-Year Review budget projection from 1 March to 30 September is due to USFOR-A J8 by 25March for submission to ABO. .

H. **CERP Program Manager:**

1. Local CERP Program Managers are required for every O-5 U.S. Commander and above who is executing CERP funds. The position of CERP Program Managers serving at the brigade level or higher must be a primary duty and those serving at the battalion level this should also be a primary duty. The Program Manager manages the CERP program for the unit, ensures regulations and policies are adhered to, and reviews all projects prior to approval to ensure they are accurate, complete, measurable, and meet the Commander's intent. The Program Manager coordinates CERP requirements through the unit's functional staff and with higher level command, as applicable. The Program Manager manages, CIDNE input, and coordinates with the RM Office on the CERP checkbook. The CERP Program Manager ensures that the unit's commitments and obligations do not exceed allocated funds per project and validates that the funds committed and obligated are only for the project for which they were approved. The Program Manager will ensure that Project Managers (PMs) are maintaining and properly entering complete project data and closing out projects accurately in CIDNE. Additionally, the Program Manager will conduct, or have USFOR-A J9 conduct, the 1-hour CERP refresher training semi-annually or as required for all appointed PMs and PPOs. The CERP Program Manager is the liaison between the subordinate units and higher headquarters for all CERP projects executed under the Commander's authority.

2. The Regional Command Program Manager is responsible for communicating and being the liaison to the support and functional units that execute their CERP program. The Program Manager is also the lead on providing information during turnover periods. Program Managers are responsible for ensuring that all functionals are on the same page in terms of CERP on a monthly basis (engineering, legal, resource management, contracting, civil affairs, and finance).

3. Regional Command Program Managers are responsible for providing a CERP POC list for their organization, along with their CERP project monthly report, to USFOR-A J9.

   It is recommended Program Managers coordinate with their local Public Affairs Office (PAO) to publicize selected CERP projects that support Commander's COIN objectives.
4. *Reference Annex B for detailed Program Manager duties*, responsibilities, and appointment requirements.

I. **Project Manager (PM)**:

1. Every CERP project will have an assigned project manager. Project management should be a **primary duty** of the individual appointed. It is expected commanders will provide project managers the personnel, time and material assets to ensure project management from nomination to completion ensuring success.

2. The Project Manager (PM) is responsible for contract management and oversight. The Project Manager (PM) must complete all required training prior to initiating any projects. The PM will be responsible for managing the project from nomination to completion, updating CIDNE as changes occur within the project's timeline, closing out active projects appropriately, and maintaining the project file. PMs should be capable of conducting regular site visits and planning operations to accommodate regular site visits.

3. In an effort to build Afghan capacity in project planning and execution, projects over $200K involving construction are encouraged to enlist a GIRoA project manager IN **ADDITION TO** the USG project manager. GIRoA involvement in the project demonstrates ownership and importance on behalf of GIRoA. By utilizing a USG project manager this promotes and prepares the Department of State to take-on the execution of CERP as the US Military conducts retrograde operations.

4. *Reference Annex C for detailed Project Manager (PM) duties, responsibilities, and appointment requirements*.

J. **Contracting Officer:** All contracts will be awarded by a warranted Contracting Officer. For CERP contracts less than $500K, this authority may be delegated, in writing, to the Purchasing Officer (PO). A copy of the delegation letter must be maintained by the PO and the warranted Contracting Officer and must be included in the project file for every CERP project executed by a PO. The RCC will ensure that the POs within their AO have been properly trained in CERP contracting procedures, as directed by the Senior Contracting Official-Afghanistan (SCO-A). Additionally, warranted contracting officers contribute invaluable services and should aid the CERP execution process by assisting with vendor referrals and vendor selection and contract execution for contracts less than $500K when the procurement is for complex goods, construction or services in support of CERP projects. Finally, the respective contracting office must maintain a current list of all POs delegated contracting authority in their AO and provide a copy of the listing monthly to the CERP Program Manager, or upon request.

K. **Project Purchasing Officer (PPO):**

1. Commanders can quickly execute non-complex projects costing less than $500K without a warranted contracting officer; instead a CENTCOM Contracting Command (CCC) trained Project Purchasing Officer (PPO) can execute these projects. **For contracts $500K or greater, only a warranted contracting officer can award or modify contracts.**

2. A Project Purchasing Officer (PO) is the direct representative of a Contracting Officer, making the PO responsible for contract execution, just as the warranted contracting officer would be. The Purchasing Officer is subject to pecuniary liability, and could face administrative actions or criminal prosecution for making any prohibited purchases.

3. The use of a warranted Contracting Officer is mandatory for projects less than $500K when the project involves construction or the technical complexity and/or the scope of the project exceeds the abilities of the PPO. It is the PPO's responsibility to ensure he or she has the necessary knowledge or external support to monitor and ensure work is completed in accordance with the standards as mandated in the contract Statement of Work (SOW).

4. An appointed Purchasing Officer may **not** be designated as a Project Manager (PM) or Paying Agent (PA). **Exception: For non-complex construction projects less than $100K, the Purchasing Officer can also be appointed as the Project Manager (PM).**

5. *Reference Annex D for detailed Project Purchasing Officer (PPO) duties, responsibilities, and appointment requirements*.

L. **Paying Agent (PA):**

1. The PA is a direct representative of the servicing Finance Office's Disbursing Officer (DO) and makes payments to vendors/contractors for goods received or services rendered at the approval of the Project Manager (PM) and/or Purchasing Officer (PO). **<u>Only the Paying Agent is authorized to disburse funds</u>.**

2. All funds shall be delivered, transported, and safeguarded consistent with DoD FMR 7000.14-R, Volume 5, Chapter 3, and applicable finance policies and procedures. If the Paying Agent fails to abide by applicable regulations and procedures they can be held pecuniary liable for any loss of funds as well as subject to administrative action or criminal prosecution. Under no circumstance may a Paying Agent be designated as the Project Manager (PM) or Project Purchasing Officer (PPO) during the same period of time or on the same project. *(Reference the MAAWS-A FEB 12 for Paying Agent processes and procedures).*

3. Paying Agents are only required when cash payments are being made. When EFT payments are used, a Paying Agent is **<u>not</u>** required.

4. *Reference Annex D for detailed Paying Agent (PA) duties, responsibilities, and appointment requirements*.

M. **U.S. Military Finance Office:** The supporting Disbursing Officer (DO), Deputy Disbursing Officer (DDO), or Disbursing Agent (DA) trains Paying Agents (PA) on

their duties and responsibilities. The PA will sign a pecuniary liability statement in the presence of the DO, DDO, or DA. The Finance Office is responsible for clearing Paying Agent accounts, making EFT payments, and providing the RM Office copies of all SF Form 1034s. **NOTE**: When clearing bulk funds, the Finance Office must also provide the RM Office copies of the SF Form 44s and DD Form 1081s. (The PA's will provide an entire closure package, to include the SF1034's, DD1081's, and SF44's, to the RM Office after closure is complete with the Finance Office.)

N. **USFOR-A J8:** USFOR-A J8 provides financial oversight for CERP. They develop annual CERP funding requirements based on the field's input and the USFOR-A Commander's guidance. USFOR-A J8 allocates funds and monitors TF's commitments, obligations, and disbursements. J8 will ensure that their Area Support Teams (ASTs) are ensuring the financial documents and package requirements are uploaded into CIDNE when providing funds or updating the funds status for CERP projects. USFOR-A J8 will submit the CERP Checkbook, current as of the last day of the preceding month, to USARCENT and HQDA, by the 10th day of each month. The CERP Checkbook shall contain the information as described in Chapter 7, Resource Management. Quarterly, USFOR-A J8, in conjunction with USFOR-A J9, will review a sample (15%) of the completed projects listed on the CERP Checkbook and reconcile them with the project files in CIDNE. USFOR-A J8 will take part in the staff assistance visits (SAVs) conducted by USFOR-A J9 on CERP executing units.

O. **USFOR-A JPIO:**

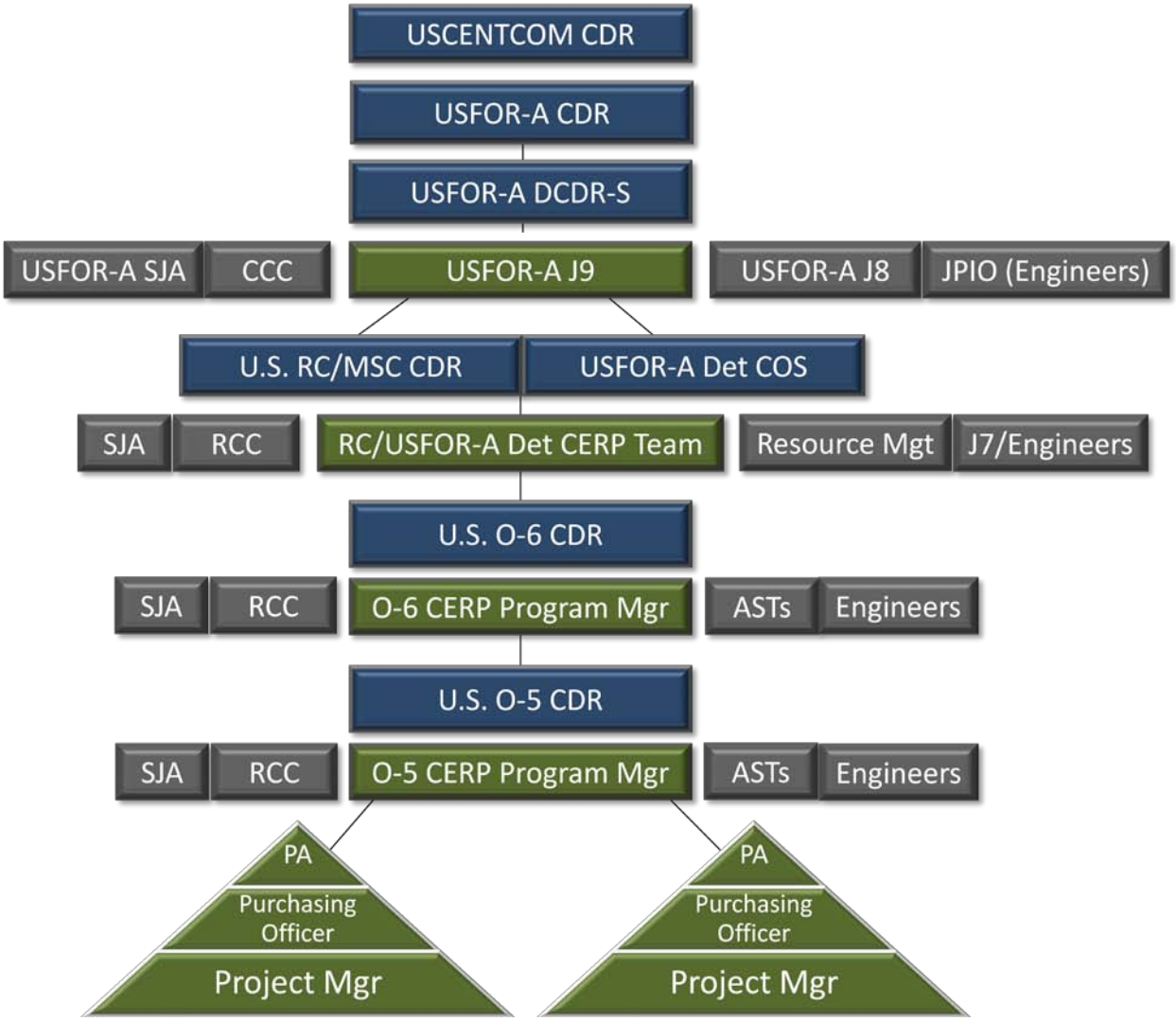
1. USFOR-A Joint Program Integration Office (JPIO) is the reconstruction functional program manager responsible for coordinating reconstruction efforts, status reporting, and planning. JPIO is a member of the Infrastructure Working Group.

2. For all projects submitted for USFOR-A CERP coordination and/or approval, JPIO will serve as subject matter expert and review design schematics or Statements of Work as applicable to ensure technical sufficiency and international building standards are adhered to. JPIO will review project management plans and ensure that project construction risks are adequately mitigated and that estimated execution timelines are reasonable and prudent for the work type and region.

3. In an effort to build Afghan capacity in project planning and execution, for those projects over $200K involving construction, the U.S. project manager is encouraged to enlist a GIRoA project engineer **IN ADDITION TO** the USG project engineer. GIRoA involvement in the project demonstrates ownership and importance on behalf of GIRoA. It also ensures they have knowledge and ownership of the end product.

Figure 2.1
CERP Roles Hierarchy

Figure 2.1 depicts the different CERP roles discussed above. The roles in blue are Commanders with CERP approval authority, the roles in green are the program managers and executors, and the roles in grey are functional support experts that the program executors (green) need to work closely with.



PROGRAM MANAGEMENT

A. Commanders will coordinate and determine project needs with the local community, the GIRoA, civil affairs elements, Agribusiness Development Teams (ADT), engineers, the Provincial Development Committees (PDCs), Provincial Reconstruction Teams (PRTs), and Regional Command (RC) Commanders to gain the greatest effect, ensure effective synchronization, guarantee Afghan acceptance with follow-on project maintenance and sustainment efforts, as required. Such efforts may also include complementary programs provided by the U.S. Agency for International Development (USAID) and other non-governmental agencies operating in their AOR. Document this coordination as follows:

1. **Non-battle space owning U.S. Commanders** must coordinate CERP projects (excluding condolence, battle damage, and Commander's Small-Scale projects) through the nearest PRT or Task Force for situational awareness and prioritization regardless of approval authority. Such coordination must be documented in the project file and can be in the form of a memo or email from the nearest PRT or Task Force.

2. Legal reviews, by the local SJA, are required for all CERP projects, micro-grants, and civil support assistance requests. If the total cost of the project is less than $30K, SJA may provide a legal review in a memo, email, or by signing the ADR.

3. Document the project cost and unavailability of other appropriate funds or inability to execute, and list the various sustainment or operating requirements identified during the project planning process. **NOTE**: This documentation will be noted in the Letter of Justification (when required) or in the Afghan Development Report (ADR) in the updates section. Other sources of funding may include:

    a. ISAF's Post Operations Emergency Response Fund (POERF)

    b. Department of State funds

    c. USAID funds

    d. NGO funds

    e. Donor funds

    f. Afghan Security Forces Funding (ASFF)

    g. International Narcotics and Law Enforcement (INL)

h. Combatant Commander's Initiative Fund (CCIF)

B. The USFOR-A Commander may delegate approval authority of projects less than $1M to subordinate unit commanders. Projects with an estimated cost of $1M or greater must be submitted to the USFOR-A CERP Review Board and be endorsed by the USFOR-A Commander. Projects with an estimated cost of $1M or more must be approved by the USCENTCOM Commander prior to the commitment of funds. For projects greater than $5M, once endorsed by the USCENTCOM Commander will be forwarded to the Office of the Secretary of Defense for final approval. Once approved, the Secretary must submit to the Congressional defense committees, not less than 15 days before obligating or expending funds a written notice containing the following information:

1. The location, nature, and purpose of the proposed project, including how the project is intended to advance the military campaign plan for the country in which it is to be carried out.

2. The budget, implementation timeline with milestones, and completion date for the proposed project, including any other CERP funding that has been or is anticipated to be contributed to the completion of the project.

3. A plan for the sustainment of the proposed project, including any agreement with the host nation, a non-Department of Defense agency of the United States Government, or a third party contributor to finance the sustainment of the activities and maintenance of any equipment or facilities to be provided through the proposed project.

C. The FY12 National Defense Authority Act caps CERP projects at $20M.

D. After final approval, all CERP projects costing over $1.5M will be reviewed by the US Army Corps of Engineers.

E. For every CERP project that a Commander endorses, a corresponding CERP Project Manager (PM) and/or Purchasing Officer (PO) must be appointed by a Commander with CERP authority.

F. There is **one currency (Afghani)** and **three authorized methods of payment** 1) EFT, 2) Limited Depository Checking Account (LDA), 3) cash, and Military Interdepartmental Purchase Request (MIPR).

1. U.S. Dollars are not authorized to be used for CERP cash payments.

2. The **preferred** method of payment is electronic funds transfer (EFT).

3. Waiver Requirements: If the supplies and/or equipment are not available within Afghanistan and all sources of supply have been exhausted, an O-6 level U.S. Commander (or above) can authorize an EFT payment(s) in U.S.

Dollars to a vendor located outside of Afghanistan. **NOTE:** U.S. Dollar cash payments are unauthorized.

APPROVAL THRESHOLDS

A. The following thresholds are per **requirement or project**, not per item. Project splitting (*separating procurements that are related to the same requirement in order to stay below the CERP approval thresholds*) is prohibited.

B. **O-5 U.S. Commanders** have the authority to approve projects up to but not equal to $100K.

C. **O-6 U.S. Commanders** have the authority to approve projects up to but not equal to $500K.

D. All CERP projects with an estimated cost of $500K or greater will be reviewed and approved by a Regional Command level CERP Board

E. The senior ranking (*must be the senior O-6 or General Officer*) U.S. Commander/individual in each Regional Command (Including USFOR-A Det OICs) has the authority to approve CERP projects up to but not equal to $1M. Prior to approving the execution of CERP projects these individuals must staff a memo to USFOR-A J9 identifying them as the senior U.S. officer and approving official for the region specific to CERP. The USFOR-A DCDR-S will approve and endorse the memo and it will be kept on file at USFOR-A J9.

F. The Deputy Commander, USFOR-A, has the authority to approve CERP projects up to but not equal to $1M.

   1. All CERP projects greater than or equal to $500K will be evaluated by the USFOR-A CRB.

G. The USFOR-A DCDR-S has the authority to approve CERP projects up to but not equal to $1M.

   1. All projects $1M or more submitted for USFOR-A approval will be evaluated by the USFOR-A CRB.

   2. All Governance projects equal to or greater than $500K must be approved by the CJIATF-435 CDR, DCDR-S or the Commander, USFOR-A, prior to the commitment of funds.

   3. All CERP projects by organizations without CERP authority and located in the Kabul Base Cluster will be submitted to the USFOR-A CRB for approval (Reference Ch.3 for CERP Review Board Procedures).

H. The senior U.S. Commander can delegate up to $500K in CERP authority to his/her U.S. Deputy Commander, Chief of Staff, or subordinate Commanding

General (CG); this delegation must be submitted to USFOR-A J9 in writing. The memo will require the senior U.S. Commander's (general officer's) signature. All current CERP authority memos must be provided to the PMs servicing Resource Management shop as well. These individuals will have signing authority for CERP projects enabling them to sign the approval memos and funding documents.

I. Non-Battle Space Owning Commands:

1. The **Combined Forces Special Operations Component Command-Afghanistan (CFSOCC-A) Commander** has the authority to approve CERP projects for his subordinate units that are up to but not equal to $1M.

    a. Special Forces units must accomplish Battle Space Owner coordination requirements (*reference Chapter 2.A.1*).

2. The **Combined Security Transition Command-Afghanistan (CSTC-A) Commander** has the authority to approve CERP projects up to but not equal to $500K (as long as the Commander is a U.S. Commander).

    a. CSTC-A units must accomplish Battle Space Owner coordination requirements (*reference Chapter 2.A.1*).

    b. All CSTC-A CERP projects greater than or equal to $500K must be submitted to the USFOR-A CERP Review Board for review and approved at the appropriate level prior to the commitment of funds.

3. **CJIATF 435** is required to coordinate all CERP projects through the Battle Space Owner's staff (USFOR-A Det or Regional Command) prior to other actions (*reference Section 3.B.5.c*). Once projects are coordinated, CJIATF 435 will submit them to the USFOR-A CERP Review Board for review, approval at the appropriate level, and funding. The CJIATF 435 Commander has CERP project approval authority for projects with an estimated cost up to but not equal to $1M. All CJIATF 435 projects greater than or equal to $1M will be boarded at the USFOR-A CERP Review Board and endorsed by the USFOR-A DCDR-S, for higher authority approval.

    a. **The Rule of Law Field Forces-Afghanistan (ROLFF-A)** Commander has CERP project approval authority for projects with an estimated cost up to but not equal to $500K. All ROLFF-A projects greater than $500K or more will be forwarded to CJIATF 435 for approval and/or endorsement to be boarded at the USFOR-A CERP Review Board and endorsed by the USFOR-A DCDR-S for higher authority approval.

In the absence of any Commander, the Deputy Commander can sign on his or her behalf **<u>only</u>** if the approval letter is accompanied by a copy of the Deputy Commander's assumption of command. A copy of the appointment of command must be included in

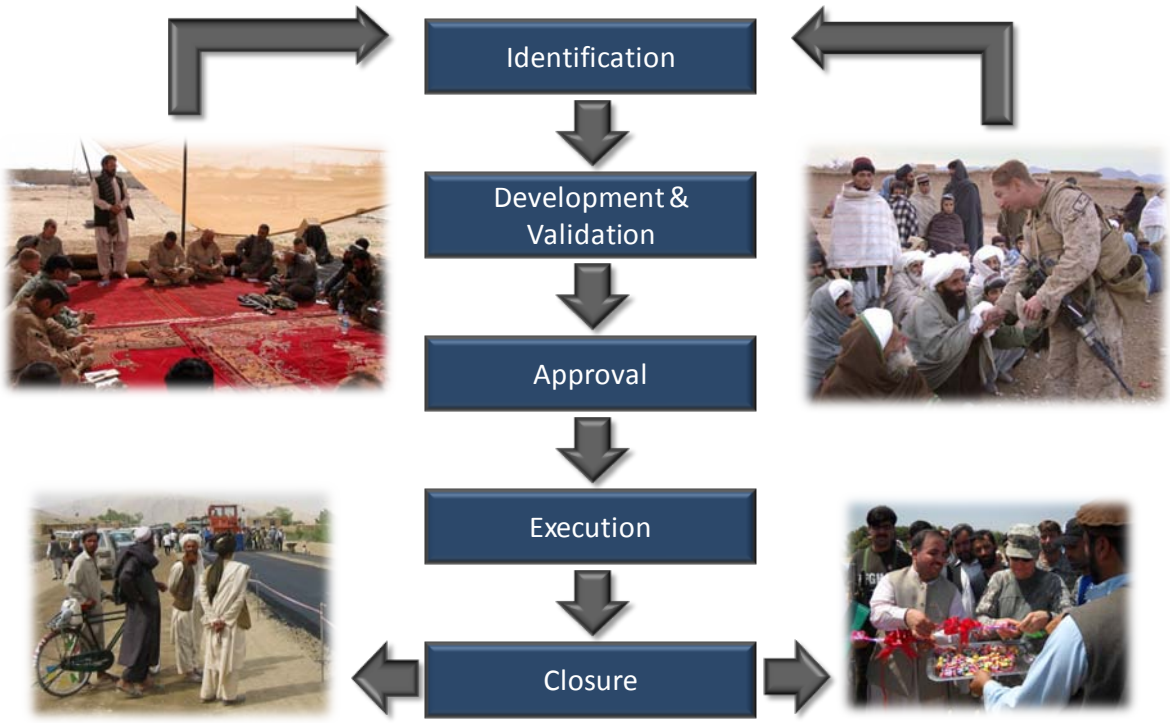
the project file and uploaded to the ADR in CIDNE. No further delegation is authorized unless otherwise approved by the USFOR-A DCDR-S.

Table 2.1
CERP Approval Threshold Matrix

Item	Limit	Approval Authority	Legal Review Required
Project Approval	$5M or more	DepSecDef (OSD)	Yes
Project Approval	$1M to $5M	USCENTCOM Cdr	Yes
Project Approval	Up to $1M	USFOR-A Cdr, USFOR-A DCDR, USFOR-A DCDR-S, Senior U.S. Cdr in each RC (except RC-C), CFSOCC-A Cdr, CJIATF-435 Cdr	Yes
Project Approval	Up to $500K	O-6 U.S. Cdrs, CSTC-A Cdr, Senior U.S. Cdr in RC-C, ROLFF-A Cdr	Yes
Project Approval	Up to $100K	O-5 U.S. Cdrs	Yes
Governance Projects	$1M or more	USFOR-A Cdr, USFOR-A DCDR-S	Yes
Governance Projects	$500K to $1M	CJIATF-435 Cdr	Yes
Governance Projects	Up to $500K	ROLFF-A Cdr	Yes

PROCESS AND PROCEDURES

Figure 2.2
The CERP Process



A. **Project Identification**

1. Potential CERP requirements and Afghan needs exist all across the country. These potential CERP projects can be identified and brought to the Commander's attention through his or her CERP team by any number of demand signals. This includes local community members, community elders, GIRoA representatives or officials from local to national level, non-governmental organizations, Department of State, U.S. forces, or coalition forces. It is recommended commanders, through whatever demand signal, execute CERP projects in support of their COIN objectives.

2. Once a potential CERP project is identified the project will be assigned a Project Manager by the commander's CERP Program Manager. The Project Manager (PM) will scope the proposed project and develop a project proposal that describes what the project is and what it will do. The Project Manager (PM) is responsible for developing the project files and collaborating with subject matter experts.

B. **Project Development**

1. The Project Manager (PM) will meet with the individual(s), community, GIRoA personnel, or whoever has the need, created the requirement, and/or will be affected by the project and discuss what the project will entail and involve. This line of communication to the Afghans who will be affected by or own the CERP project must remain open throughout the process.

2. Once the Project Manager (PM) fully understands what needs to be done and what the CERP project will be, the Project Manager (PM) creates the required documentation in order to gain U.S. Commander approval (*Reference the CERP Checklists in Annex C*).

3. **Project Documentation:**

   a. **Independent Government Cost Estimate (IGCE)**

      1. An IGCE is required for all projects greater than or equal to $30K.

      2. An IGCE is not required for project approval when the project cost is under $30K; however some sort of cost estimate will need to be accomplished in order to assist in formulating a cost for the project. For these projects, the Project Manager (PM)/PO can use prices from local vendors to formulate their cost estimate. For projects that are going to be under $30K, PMs are required to include the bill of goods or services (*a document that shows how much the vendor is charging*) to document the costs of the project. This document will be included in the project file/CIDNE.

      3. **What an IGCE is**: An IGCE is a document (usually a spreadsheet) that clearly identifies and defines the estimated costs of the project. The IGCE is the Project Manager (PM)'s cost estimate for the project and is used to compare the bids or quotes that are received after the commander has approved the project.

      4. **How to develop one**: The IGCE is the Project Manager (PM)'s/PO's responsibility and can be created by researching past projects that are similar to the project in size, scope, and type. It can also be created by gathering data and costs from your Regional Contracting Office. For projects that are outside his/her ability, the Project Manager (PM), is required to seek appropriate expertise. For example, if the project involves construction, the Project Manager (PM) will solicit a certified engineer (preferably U.S./coalition) to aid in the development of the IGCE.

      5. The IGCE **will not** be obtained by bids or quotes received from vendors that are soliciting. **Note**: The only situation that allows for an IGCE to be formulated by proposals from vendors is when the cost of the project will be under $30K.

6. Any costs associated with another organization (*Afghanistan Engineer District (AED) – USACE, USAID*) performing contracting and/or project oversight will be included within the IGCE.

7. **Contingencies**: If the Project Manager (PM)/PO is operating in a location where it is not possible to research historical costs of similar projects, link up with the Regional Contracting Command for data, or link up with a certified engineer to develop an IGCE for a construction project, then the PM/PO must communicate that to their CERP Program Manager and that Program Manager must provide the necessary support.

8. Accompanying the IGCE, will also be a **Cost Methodology Memorandum**. This document will explain how the costs in the IGCE were created, calculated, or obtained. The memo will also identify who created the IGCE (Example, what U.S. engineer helped identify the costs in the construction project). The purpose of this memo is to convey to a reviewing or approving official how the Project Manager (PM) came up with the IGCE.

b. **Afghan Development Report (ADR)**

1. An ADR is required for all CERP projects.

2. Project Manager (PM) will create an ADR in CIDNE. The ADR is the report that is generated in CIDNE and contains all the project data. The Project Manager (PM) will ensure that all fields in the ADR are populated and the information is complete and accurate.

3. The ADR must be updated throughout the project's life cycle. As significant changes, events, and/or milestones are completed, the ADR should be updated accordingly. Examples of these events are payments being made to the vendor, delays, changes in vendor, project completion, etc.

c. **Coordination Memorandums and Correspondence**

1. This is required for all projects (with the exception of bulk fund projects).

2. The Project Manager (PM) should coordinate with GIRoA agencies, civil affairs elements, engineers, Provincial Development Committees (PDCs) and/or Provincial Reconstruction Teams (PRTs) to gain the greatest effect while meeting the urgent civil support and reconstruction needs of the Afghan people.

3. Coordination with local GIRoA officials is critical to ensure that the project meets a perceived need by the population, is appropriate for the culture, and will be maintained in the future.

4. All CERP projects must be coordinated through the battle space owner if the CERP project is being executed within **non-U.S. battle space**. This coordination provides situational awareness to those organizations operating in the battle space and **can be accomplished with a memo or an email** to the battle space owner or a designee (*the memo or email must be uploaded into CIDNE*). An example would be if a CERP Project Manager (PM) was working at a FOB in coalition battle space, then that Project Manager (PM) would have to make sure that the commander or designated official of that coalition unit at the FOB was aware of the CERP project.

5. Coordination must be accomplished with the nearest Provincial Reconstruction Team (PRT) for CERP projects with an estimated cost of $50K or more. Coordination with a PRT only applies if there is one in the province that the CERP project is taken place. If there is no PRT, then the Project Manager (PM) does not have to coordinate with one. Coordination with the nearest PRT is key in de-conflicting project efforts across battle space spectrum, as they have and need awareness of DoD, USAID, Department of State, and Non-Governmental Organization projects occurring in the area. This coordination can also be accomplished with a **memo or an email** (*the memo or email must be uploaded into CIDNE*). The Project Manager (PM) must ensure that he or she coordinates the project with the PRT Commander or a designee that the Commander has selected.

d. **Funding Document**

1. This is required for all CERP projects

2. There are three types of funding documents: DA Form 3953 (PR&C), DD Form 448 (MIPR), or DD Form 1149 (REQUISITION AND INVOICE/SHIPPING DOCUMENT).

3. The Project Manager (PM) must ensure the document contains the correct project title, project number, Project Manager (PM), PO and PA (as applicable), and signature blocks.

e. **Statement of Work (SOW)**

1. A SOW is required for all projects (with the exception of bulk fund projects, see Chapter 8 for additional information).

2. The SOW will be accomplished by the Project Manager (PM) and needs to describe, in detail, how the contract will be executed by the

vendor. For construction projects, consult with an U.S. engineer for assistance in developing your SOW. For purchases of supplies, a "bill of goods," can be used instead of a SOW.

3. The SOW should be sufficiently detailed to allow the contractor to know what needs to be done and the standards that must be adhered to. At the end of the project, if there is a disagreement as to what work should have been done, the SOW will be used to determine who is correct. If the work is not spelled out in the SOW, the contractor is not obligated to do it.

4. A detailed list of the material/services being provided will be included with the SOW. This list (*along with their associated costs*) should be reflected in the IGCE.

5. If applicable, blueprints, drawings and/or maps will be provided as attachments to the SOW for all construction projects. To the greatest extent possible, the Project Manager (PM) should use the standard blueprints/drawings provided by the responsible Afghan Ministry or organization.

6. The SOW will address the payment plan if applicable to the project. There is no *one-size fits all* payment plan, therefore the Project Manager (PM) must develop a payment plan specific to the project.

f. **Draft Contract**

1. For projects that are less than $500K (except for bulk fund projects), a draft contract is required and will be accomplished by the Project Manager (PM).

2. The draft contract, the SOW, and the IGCE should all be synced together. These 3 documents provide the backbone for the project's execution.

g. **Legal Review**

1. A Legal Review is required for all CERP projects and must be completed by a local U.S. DoD Attorney.

2. For projects less than $30K, the legal review can be documented by a Staff Judge Advocate's (SJA's) signature, position title, and date, on the ADR in lieu of a formal legal memorandum (*Export the ADR to Microsoft Word, type in SJA's signature block on last page of ADR, print out, obtain SJA's signature, and then load signed ADR into CIDNE*).

3. For projects $30K or greater, the legal review must be in a memorandum format and uploaded to the ADR in CIDNE.

4. Legal counsel can be provided via phone to the Commanders in the field; however, a formal review must be accomplished at the earliest date possible.

h. **Letter of Justification (LoJ)**

1. A Letter of Justification is required for all projects equal to or greater than $50K.

2. The Project Manager (PM) will create the LoJ and it must be signed by the initiating U.S. Commander. The LoJ will provide the justification for the CERP project as well as an overview of the proposed project and what effects it will have in the community, to the GIRoA, or for the Afghan people.

i. **Right of Entry Memo**

1. This document is required when a project involves construction or refurbishment on Afghan property and has an estimated cost of $50K or more.

2. The document needs to identify who owns the land, state the land owner authorizes the use of the land, and is signed by a USG representative (the Project Manager (PM)) and the land owner. The Right of Entry Memo will only be used with GIRoA owned land, <u>if a project is going to require the USG to enter upon private land, the GIRoA must work out the land use agreement between the individual and the GIRoA</u>. The Right of Entry Memo will most often be signed by a GIRoA Ministry Official. In cases where there are no ministry representatives, it is recommended the Provincial or District Governor(s) sign the Right of Entry.

j. **Sustainment Memorandum of Agreement**

1. A Sustainment Memorandum of Agreement is required for projects incurring operating or sustainment costs (such as construction projects and/or equipment purchases) and is equal to or greater than $50K.

2. This document is an agreement between the Afghan organization or Ministry and the U.S. that states the sustaining organization's commitment to budget for and execute any sustainment or maintenance costs the project may have once turned over. This document needs to identify what GIRoA or Afghan agency will sustain the project once completed, address the agency's capability and

capacity to sustain the project, and be signed by the agency agreeing to sustain the project.

3. The organization agreeing to sustain the project must address their commitment and ability to budget for and execute the sustainment of the project.

4. The intent is to educate the applicable GIRoA entity on the project itself, while ensuring understanding of the project's out-year operating and sustainment costs. If the GIRoA official is not willing to fund operating costs or maintain the investment, do not fund the project.

5. If it is the responsibility of another donor nation or NGO to sustain the facility or equipment, then the responsible official from that donor nation or NGO must also sign the MOA.

6. The Sustainment Agreement must include an annual estimate in US dollars, for operations and maintenance cost for the life of the requirement. This is an estimate formulated by either the Project Manager, project engineer, Afghan Project Manager (if available), or sustaining organization.

7. New construction projects over $200,000 must include a sustainment plan before obligation of CERP funds. The plan should outline the sustainment required and the Afghan government's capacity to staff, maintain, and administer those projects once completed. In addition, the plan must provide evidence that the relevant Afghan ministry or, if applicable, U.S. civilian agency, foreign government, non-governmental organization, community group or private sector entity has included sustainment of the project (staffing, maintenance, and administration) within its planning and budgeting requirements.

8. The following two clauses need to be inserted into all MOAs the subordinate unit commander may enter into with a GIRoA official for the follow-on sustainment of projects:

    a. "Nothing in this Memorandum of Agreement authorizes the commitment or obligation of appropriated funds of the United States of America prior to their availability, or in violation of any applicable statute, regulation or policy of the government of the United States of America."

    b. "This document expresses the participants' intent to achieve the goals of this project. The participants intend for this project to benefit the local community and its people for years to come. It is not, however, a legal instrument that binds the participants under international law. Rather, it embodies the aspirations towards which the participants strive."

k. **Subordinate Commander Approval Memo(s)**

1. This is only required when a project exceeds the initiating Commander's approval threshold and needs to be routed up the approval chain.

2. Every Commander approving the CERP project needs to sign the approval memo to be included in the project file that will be presented to the approving Commander for final approval. Approval Memos must be written up in a thru memo format so as the approval memo flows through approving Commanders, they can sign and forward the document.

l. **Storyboard slide**

1. A storyboard slide is required for all projects requiring USFOR-A review and approval, or as required by lower-level (Regional Command) boards.

2. The storyboard is a single slide that outlines the project and provides specific details.

3. Storyboard requirements include: Location, brief description, estimated cost, CERP Category, Line of Operations supported, desired effects, a photo of the project, and proposed performance metrics.

m. **Blueprints, Drawings, Maps, and Photos**

1. These items are required for construction projects.

2. These items enhance your project file to those who review, approve, and audit the project file.

n. **Project Management Plan (PMP)**

1. A Project Management Plan is required for all projects with an estimated cost of $500,000 or more

2. For projects of this magnitude the Project Manager (PM) must coordinate with an engineer and contracting to develop the PMP. The PMP should build off the SOW and provide further planning details and describe the plan for the execution of the project, the key players, and the Quality Assurance Plan.

   Projects with an estimated cost less than $500,000 do not require a complete PMP. However, for all projects with implications for life, health, or safety - either during construction or in the end state - the

project must be reviewed by a professional engineer and the work must be inspected by a qualified construction inspector.

C. **Project Approval**

1. Project Manager (PM) will ensure all documents are loaded into the CIDNE ADR.

2. Once the project has been developed by the Project Manager, including all the required documentation (see Annex C), it will be submitted to the CERP Program Manager for review, who will ensure the documentation is complete and correct. The CERP Program Manager will then route the nomination package through the proper staff functionals for final review (contracting, legal, engineering, resource management, USAID, etc.) and concurrence. **NOTE**: During the functional review process, the judge advocate will provide the formal legal review, if not all ready completed.

3. The estimated cost of the project and the organization sponsoring the project will drive the approval requirement.

4. **If the project is less than $100K**, once the package has received concurrence from all the staff functional areas (as applicable), the CERP Program Manager will then route the package to the O-5 U.S. Commander for approval. The O-5 U.S. Commander must sign the ADR and the DA Form 3953 (PR&C) (block 35). After approval, the CERP Program Manager will send the PR&C, along with the supporting documentation, to the RM Office for certification. Once the PR&C has been certified, then the CERP Program Manager will upload the signed ADR and certified PR&C to CIDNE and notify the Project Manager (PM) of his/her authority to proceed.

5. **If the project is greater than or equal to $100K and originating from an O-5 Commander**, the project file must be approved by the initiating Commander and then routed up the approval chain to the appropriate level Commander for final approval.

   a. **If the project costs between $100K and $500K** (*or more than the O-5 is authorized to approve*), the initiating U.S.O-5 Commander will endorse the project, sign the ADR and LoJ, and route the project file to an U.S. O-6 Commander for review and final approval. The O-6 Commander will be required to sign a Project Approval Memo and the PR&C. The ADR and LoJ will be signed by the initiating Commander.

   b. **If the project costs more than $500K** (*more than the O-6 is authorized to approve*), the O-6 must review the project file sent to him/her, create and sign an approval memo, and forward to the appropriate approving U.S. Commander.

c. Projects that cost more than an U.S. O-6 Commander can approve will be forwarded to the Regional Command or senior US officer appointed with CERP authority.

   1. All U.S. Regional Commanders/have CERP approval authority up to $1M.

   2. All projects costing $500K or more will meet a Regional Command level CRB.

   3. The final approving official for projects up to $1M must sign the PR&C (*reference Table 2.1)*.

6. **All projects having an estimated cost of $1M or more** must be sent through the approving Regional Command Commander or Chief of Staff to USFOR-A for review and approval.

   a. These projects will be sent to the USFOR-A J9 for review and must include all subordinate Commander Approval memos and signed PR&C.

   b. The project file, once reviewed by J9, will be boarded at USFOR-A by the CERP Working Group and CERP Review Board chaired by the USFOR-A COS (f*or CWG and CRB process details please reference Chapter 2 Sections 5 and 6*).

   c. The project will then, based on the recommendation from the CRB, be endorsed or declined by the USFOR-A DCDR-S.

7. **For projects with an estimated cost of $1M or more, but less than $5M**, the final approving authority will be the USCENTCOM CDR or DCDR as may be delegated. Once the project is endorsed by the USFOR-A CDR, it will be forward to USCENTCOM for review and approval.

8. **All projects having an estimated cost between $5M and $20M**, the final approving authority is OSD (DepSecDef). Once projects are approved by the USCENTCOM CDR, they will be forwarded to OSD for boarding through the Afghanistan Resources Oversight Council (AROC) and approval from DepSecDef.

9. Once the project has been approved by the required authority, the signed **approval memo** and PR&C (*signed by the senior U.S. Commander in the region of the project*) will be sent back to the originating organization and provided through the appropriate Program Manager so funding can be obtained and the Project Manager (PM) can begin project execution.

D. **Project Funding**

1. Once the funding document is signed by the approving Commander (and the approval memo is signed), the Project Manager (PM) can proceed with getting the project funded.

2. Upon the appropriate level Commander's approval, the DA Form 3953 (PR&C), DD Form 1149, or DD Form 448 will be submitted to the RM Office for the line of accounting, funds certification, and the reservation of funds (*see Chapter 7 for a list of documents required by the RM Office prior to the certification of funds*). **Note: The RM office will not certify funds for projects $1M or more without a signed PR&C by the Senior U.S. Commander in the region, or non-battle space owning organization and a PROJECT APPROVAL MEMO from the appropriate approving Commander/Official; USFOR-A DCDR-S, USFOR-A Commander, CENTCOM Commander or OSD/Deputy Secretary of Defense (***reference Table 2.1).*

3. The RM Office processes the DA Form 3953 (PR&C), DD Form 1149, or DD Form 448 by issuing a standard document number, printing (clearly) the accounting classification on the document, signing block 21, as the Certifying Officer, and committing the funds in the accounting system. For CERP projects, only funds appropriated specifically for CERP may be used. No other funding sources, or the co-mingling of funds, are authorized.

4. Once the funds have been certified and committed by the RM Office, the Project Manager (PM) must ensure the STANSFINS number/RMT tracking number is input into the CIDNE ADR and update other relevant fields in the ADR as required. The Project Manager (PM) will provide copies of the certified funding document to the PO and PA.

5. The issuance of a funded DA Form 3953 (PR&C), DD Form 1149, or DD Form 448 authorizes the PO to begin the contracting process for the project (i.e. solicit bids from local vendors).

6. The DA Form 3953 (PR&C), DD Form 1149, or DD Form 448 does NOT constitute an obligating document. The RM Office must wait until proper obligating documents have been received (contract, SF Form 44, or DD Form 448-2 CAT I (reimbursable) prior to obligating funds in the accounting system.

7. CERP Project Managers (PM) must ensure CIDNE is updated when the CERP project is approved, committed, obligated, disbursed, and closed out/transferred.

E. Project Execution

1. The Project Manager (PM) will maintain an updated project file (in CIDNE) containing copies of all documents created from project identification to closure/turnover.

2. The Project Manager will work with the PO or Contracting representative to ensure the following steps are completed and the project is put on contract.

    a. The PO, once given the authority to proceed by the Project Manager (PM), will solicit bids from local vendors to accomplish the project.

    b. When awarding contracts, the PO must ensure he/she does not exceed the monetary limitation listed on the DA Form 3953 (PR&C).

    c. The PO then contracts for services and supplies within the established dollar limits and in accordance with the training received from the U.S. warranted contracting officer and this SOP. The PO negotiates payment terms to include the price and payment schedule. The PO, when feasible, will seek multiple bids in order to encourage competition.

    d. The PO and the Project Manager (PM) review offers, bids, or price quotes that are received from the solicited vendors and select the vendor that provides the best value for the price and, when possible, the vendor maximizing local Afghan employment.

    e. The Project Manager (PM) must ensure the vendor understands and agrees to the SOW and all that is required of the vendor prior to signing the contract. Once the contract and SOW are agreed upon, the PO will award the contract to the selected vendor.

    f. The PO will maintain a contracting file containing all documents created during the project execution. This file will include all financial, legal, and contractual documents.

3. It is absolutely essential the PO not perform Project Manager (PM) duties if necessary qualifications are absent. The PO must use a warranted Contracting Officer when qualifications are absent.

4. The Project Manager (PM), will conduct periodic quality checks or quality assessment visits on the project to ensure the SOW is being adhered to and the goods and/or services meet the standard that was agreed upon. (*Reference Chapter 2 Section 7 for more details on quality assessment visits*).

5. The Project Manager (PM) must update the ADR in CIDNE as project milestones are reached (*funds disbursed, percentage complete, etc.*). **NOTE:** The Program Manager has the authority to require updates on projects within their area of responsibility as they see fit.

    a. Reconcile the funding document (DA Form 3953 (PR&C), DD Form 1149, or DD Form 448) with the DD Form 250s, SF Form 44s, and vendor receipts to ensure cost amounts are the same and the goods or services

were received or rendered. The Project Manager (PM) should keep a payment log showing all payments made to the vendor, if partial payments are made.

b. Authorize vendor payment by signing the DD Form 250s (as required).

c. Maintain the project file to ensure all required documentation is accounted for and uploaded to the ADR in CIDNE, to include periodic QA reports for construction projects. Files are required to be retained for five years after the project has been completed.

F. **Project Payment**

1. Payments for CERP projects on contract will be completed by the servicing Finance Office for projects costing less than $3K. Projects equal to or greater than $3K will be paid by DFAS Rome (per USFOR-A FRAGO 10-208, Reduction of Cash in CJOA-A).

2. **Advance payments are not authorized** Payments can only be made for goods or services received. Installment or in-progress payments based upon a completion percentage are allowed and recommended and must be stated in the contract. Payments must be made via **EFT** (when available) although Limited Depository Checking accounts and cash payments (in Afghani) are authorized.

3. **EFT Payment**

a. Upon identification of the Vendor or Payee, the PO will obtain the banking information necessary to complete an EFT payment (in Afghani). **It is vital to ensure all information is correct.** Any incorrect information will result in non-payment to the vendor.

b. The PO will prepare the DD Form 250. Then, the Project Manager (PM) will sign the DD Form 250 certifying that the goods or services have been received. The PO will submit the following to the Finance Office:

1. The DA Form 200, Electronic Funds Transfer (obtain an updated version from Finance)

2. The certified funding document (DA Form 3953 (PR&C), DD Form 1149, or DD Form 448)

3. The basic contract and all modifications

4. The DD Form 577s for the Project Manager (PM), PO and PA (if applicable)

5. The vendor’s invoices

6. The signed DD Form 250

c. Finance will return the DA Form 200 to acknowledge receipt of the payment request.

d. Finance will certify the payment by producing a SF Form 1034. Finance will send a copy of the SF Form 1034 to the PO and RM Office, once the payment has been sent to International Treasury Services.

e. The PO will send a copy of the SF Form 1034(s) to the Project Manager (PM) to be added to the project file, so he/she can clear with the RM Office.

4. **Limited Depository Checking Account (LDA).** A LDA, per DoD FMR Volume 5 Chapter 14, can be used as a form of payment for CERP. The use of a LDA is encouraged to reduce the amount of cash on the battlefield while providing an immediate form of payment. **NOTE**: A LDA can only be established by the DO, DDO, or DA.

5. **Cash Payment (non-Bulk Fund)**

a. The cash payment method will only be used when EFT or LDA payment is not available or feasible.

b. The PA will take the DA Form 3953 (PR&C) or DD Form 1149 to the local Finance Office, with copies of the Project Manager (PM), PO, and PA's DD Form 577s (as applicable), to draw cash for payment. Afghani is the only authorized form of cash payment. The Finance Office will issue a DD Form 1081, Statement of Agent Accountability, which acts as a hand receipt for the cash. **NOTE**: The DD Form 1081 must reference the document number recorded on the DA Form 3953 (PR&C) or DD Form 1149.

c. The PO will prepare the SF Form 44, with enough detail to answer who was paid, what was purchased, quantity purchased, how many benefited from purchase, what location benefited from the purchase, and contact the PA to arrange payment with the vendor. The PO and the PA will go together to make payment to the vendor.

d. The PO will authorize payment on the SF Form 44. The PA will insert the dollar value of the goods or services and sign the SF Form 44 immediately after the certification statement: "I certify that this account is correct and proper for payment in the amount of…"

e. The vendor will sign the SF Form 44 and receive copy #2 (blue). The vendor should provide an invoice or receipt, either before or at the time of payment. Both the PO and PA must be present. The PO (or designated

representative) will sign as the receiver on the SF Form 44. The PA cannot sign as the receiver, since he/she is the certifying official. The SF Form 44 becomes an accountable document to the PA and is required to clear the PA's DD Form 1081 from the Finance Office. (*Reference Annex F, for more information on preparing a SF Form 44*).

f. After the project has been completed and funds have been fully disbursed, the PA will notify his/her PO and servicing Resource Management Office. The PA must provide a complete closure package to the RM Office and receive an RM release memo. This step is required to ensure each individual SF Form 44 has been obligated, before the PA proceeds to clear with the servicing Finance Office. The PA will visit the Finance Office, where the funds were drawn, and bring the following documentation: 1) the initial DD Form 1081, 2) all completed SF Form 44s, 3) all receipts/invoices, 4) any remaining currency, and 5) RM release memo. The Finance Office will prepare an SF Form 1034 voucher for the total amount of all SF Form 44s submitted. The Finance Office will also provide the PA with a DD Form 1081 (Return) (*annotated with the DA Form 3953 (PR&C) or DD Form 1149 document number*) clearing the PA's account. **NOTE:** For advance bulk funds, the Finance Office will send copies of the SF Form 1034(s), SF Form 44(s), and the DD Form 1081(s) to the RM Office as soon as the PA's account has been cleared to ensure the funds are obligated in a timely manner and prevent NULOs (negative un-liquidated obligations) from occurring.

g. After clearing Finance, the PA will provide the following to the Project Manager (PM) and PO to finalize the clearing process:

   1. A copy of the SF Form 1034 (*generated by Finance*)

   2. Copies of the DD Form 1081s (Advance and Return)

   3. Copies of all SF Form 44s and supporting documentation, which includes: the vendor's invoice(s)/bill(s)

   4. Copy of the RM release memo

h. The Project Manager (PM) will clear the PA and provide a clearance memorandum to the PO and PA upon receipt of all disbursement and documents.

i. Disbursements are not recorded in STANFINS until the PA clears with the Finance Office, where the funds were drawn. After the PA clears every payment, the DO submits the original payment vouchers to DFAS-Rome where the disbursement is recorded in STANFINS and held for future review or audit.

6. For projects $500K or greater, the Project Manager (PM) and warranted Contracting Officer will assume the above listed duties of the PO. The Project Manager (PM) should work closely with his/her Contracting Officer to ensure goods are received and/or services are rendered in accordance with the contract terms and SOW and the contractor is paid for work performed in a timely manner.

7. In accordance with the payment schedule, the PO will prepare an SF Form 44 (*for cash payments only*) or a DD Form 250. This will acknowledge the receipt of goods or a percentage of work completed on the project. Total disbursements for the project will not exceed the amount on the contract or the DA Form 3953 (PR&C), DD Form 1149, or DD Form 448. Each SF Form 44 or DD Form 250 must be complete to include a detailed description of supplies received and/or services rendered.

G. **Project Closure**

1. PMs must close out completed projects in CIDNE within 30 days of making final payment.

2. Once the project has been completed, all outstanding bills paid, the PO and PA have cleared with the Project Manager (PM), and the project has been turned over to the sustaining Afghan or GIRoA entity (as applicable), the Project Manager (PM) will close the project in CIDNE and then notify the CERP Program Manager, who will, in turn, update the CERP checkbook accordingly (*see Chapter 3 for detailed Financial Management Instructions*). In CIDNE, the "Project Status" field will be changed to "Completed" the "Project Closure" section will be completed, and any final disbursements will be added. If funds were de-obligated, the "Amount Allocated (USD)" field in CIDNE should be updated accordingly. `

3. The Project Manager (PM) will consolidate all documents generated during the project. All required documents listed on the CERP project file checklist must be included in the official project file and uploaded to CIDNE.

4. Commanders are required to review the project file, all disbursement vouchers, and supporting documentation. After review, the Commander will issue a project clearance memorandum to the Project Manager (PM) stating: "I have reviewed and approved the project file in the amount of $<*enter project total*>. It is accurate and complete and it adheres to the guidelines set forth in the current USFOR-A CERP SOP and applicable FRAGOs." The Project Manager (PM) will prepare the project file for closure and review with the Commander. The Commander will then sign the ADR, showing the project status as "Completed" and has a completed "Project Closure" section. The Project Manager (PM) will add the Commander's project clearance memorandum and the signed ADR to the project file and upload it to CIDNE. **NOTE**: Project Clearance Memo is only required if payments are made. If no

payments were made on a particular project the Commander will just sign the ADR and not issue a clearance memo.

5. The Project Manager (PM) will then submit the completed project file to the RM Office for review and reconciliation. The RM Office will take appropriate action, based on the project file, to clear all un-liquidated obligations in the accounting system.

6. The Project Manager (PM) is responsible for making corrections or providing memorandums explaining lost or illegible documents and must be endorsed by the approving Commander.

7. After receiving all the required documentation in the project file, the RM Office must provide a print-out of the document from the Operational Data Source (ODS) showing that the project has been cleared in the accounting system. At the bottom of the ODS print-out, the RM Office must add the following statement: "CERP Project # (add 14-digit CIDNE number) has been cleared and properly recorded in the accounting system." **The RM Office will then endorse the ODS print-out. A copy of this endorsed print-out will then be placed in the project file and uploaded to CIDNE. NOTE:** The CIDNE Project Completion date should be updated to reflect the final disbursement date on the ODS report as the completion date.

8. The project is now considered completed and properly closed out.

H. **Turnover Procedures**

1. Proper turnover is required for Paying Agents, Purchasing Officers, Project Managers, Program Managers, and Commanders to ensure no stoppage or loss of operational CERP capability.

2. Detailed turnover procedures for individual project positions and CERP executing units can be found in Annex C.

3. Units re-deploying without follow-on U.S. forces, or who are being replaced by a coalition or ISAF nation, should initiate a plan to complete all projects in progress prior to re-deployment. (1) For projects that cannot be completed prior to re-deployment, the outgoing unit may need to designate a stay-behind CERP team, or request assistance from their Major Subordinate Command for the assignment of U.S. liaison officers, to conduct QC/QA on the remaining open projects and to make payments to the vendor. **NOTE**: Designated personnel must be trained CERP PMs, POs, and PAs. (2) Prior to re-deployment, the outgoing unit must ensure all completed project files have been uploaded to their respective ADRs in CIDNE. (3) For projects that are still on-going, once the project has been completed and closed out in accordance with this SOP, the designated personnel must ensure the complete project file is uploaded to the ADR in CIDNE.

CERP WORKING GROUP (CWG)

1. The USFOR-A CERP Working Group (CWG) is designed to bring together functional level expertise to evaluate associated risks of a nominated project. The evaluated risk level will form the basis of the CWG recommendation to the CERP Review Board and approval authorities.

2. All projects having an estimated cost greater than or equal to $1M ($500K for RC-Capital) are required to be reviewed by the CERP Working Group. The CWG will evaluate projects by detailed review of all required project documentation and through question and answer via in-person, teleconference, or video-teleconference (if available).

A. Time and Attendance

1. The USFOR-A CERP Working Group (CWG) will convene as required when a new project nomination package, with completed documentation, is received. The standard timeline is for a CERP Working Group to be held and a recommendation forwarded to CERP Review Board members within 4 days of completed project package receipt.

2. The CERP Working Group will be chaired by a designated member of USFOR-A J9 with representatives from USFOR-A J2 (Intelligence), J5 (Strategic Plans), J8 (Resource Management), J9 (Civil Affairs), JENG (Engineer), JSTCC (Contracting), and SJA (Staff Judge Advocate). The chair may allow or request for other agencies' representation as necessary.

B. Requirements

1. Project nomination packages submitted to USFOR-A J9 need to have complete and accurate project files uploaded into CIDNE. (*For a list of documentation required in a nomination package, see Annex F)*.

2. Prior to the project being presented to the CWG, USFOR-A J9 will assess each package and ensure all documentation has been received and completed properly. If the package is incomplete (including proper routing documentation) or improperly filled-out, it will be returned to the owning program manager for corrections.

3. USFOR-A J9 will ensure that the project meets the following criteria:

    a) Completion time: within 12 months of obligation
    b) Meets one of the approved DoD FMR CERP categories
    c) Legal reviews have been accomplished at subordinate command level (if applicable)
    d) All documentation is included and completed
    e) Project has been properly boarded at necessary subordinate boards

C. Review and Recommendation Process

1. Projects presented to the CWG will be evaluated and identified as being low, medium, or high execution risk according to a weighted criteria matrix. The CWG then recommends, recommends with risk mitigation requirements, or does not recommend project approval to the CRB. If the CWG finds that inadequate information was presented to make an assessment, the project may be returned to the originating command for additional project development.

2. The CWG chair will lead discussion in order for the group to reach a consensus evaluation on each criteria category. The chair will resolve any stalemates or if necessary direct the nominating unit to provide additional project information.

3. Weighted criteria matrix:

    a) Project Parameter Risk. Designed to assess the parameters of the project to determine if the project is sound and meets the intent of CERP.

        1. Six categories with individual weights are evaluated based on Yes (0) or No (1) assessment of meeting category intent. The risk factor (0 or 1) is multiplied by the category weight to determine the score for each area, with the final total being between 0 and 20.

        2. Does the desired effect support COIN objectives?
            I. Is the COIN contracting guidance (*See chapter 6 for detailed COIN guidance*) being followed?

        3. Has the project manager sought GIRoA, donor-nation, USAID or other funding sources before nominating under CERP?

        4. Based on an assessment of past projects (including known projects executed by other agencies), has there been a record of past success on similar undertakings?

        5. Does the project meet the seven evaluative performance metrics outlined in the DoD FMR Vol. 12 Chapter 27?
            I. Immediate and direct benefit to the local population.
            II. Sustainability of the project.
            III. Name and authority of the local partner
            IV. Number of local civilians engaged in and/or employed by the project
            V. Number of local civilians benefitting from the project (which can also be calculated on a cost-benefit or per capita analyses).

VI. Executability of the project (likelihood of completion, operation and sustainment of the project).
VII. Relationship to similar efforts, such as replicating other successful projects funded with CERP.
VIII. Relationship to relevant military and civilian-military campaign plans (for projects over $200,000).

6. Does the initial quality assurance/quality control (QA/QC) plan ensure the desired effect of the project is achieved?
   I. The QA/QC plan must provide a clearly defined process for the Program Manager, PM, COR, and PPO that ensures the contractor is adhering to the Statement of Work (SOW)
   II. The Program Manager is responsible for reviewing all CERP projects, ensuring that all proper documentation has been uploaded into CIDNE
   III. The Project Manager (PM) is responsible for uploading all documents into CIDNE, conducting Site Assist Visits (SAV's), and ensuring that the contractor is meeting all requirements and timelines listed in the SOW
   IV. The Contracting Officer's Representative (COR) is responsible for assisting the PM on SAV's and ensuring that the contractor is not violating the contract
   V. The Project Purchasing Officer (PPO) is responsible for assisting the PM on SAV's and ensuring that all contracted goods and services are being provided in accordance with the SOW

7. Is the project suitable, feasible, and appropriate for Afghanistan?
   I. Will the project be able to be put in immediate use? (i.e. are there enough instructors in the area with necessary skills to work in a project school?)
   II. Is the project built to Afghan standards? (i.e. are proposed construction techniques/materials prevalent in the area?)
   III. Can the project be sustained at levels to meet intended purpose? (i.e. does the government have funding and skills necessary to maintain?)

b) Project Execution Risk. Designed to assess the risk in construction or execution phase of the project.

1. Seven categories with individual weights are evaluated based on low (1), medium (2), or high risk (3). The risk factor is multiplied by the category weight to determine the score for each area, with the final total between 20 and 60.

2. Cost (Weight Factor: 1)
   I. Low=$500K -$1M
   II. Medium Risk=$1M-$5M
   III. High=$5M-$20M

3. Security (Weight Factor: 2)
   I. USFOR-A J2 threat assessment of Low, Medium, or High risk based on recent significant acts in area.
   II. Final Security assessment will default to higher of RC analysis or USFOR-A J2 analysis result.

4. Project Manager Workload (Weight Factor: 3)
   I. Risk based on number and dollar amount of projects performing oversight function on.
   II. For each project <$250K (1 pt); $251K-$550K (2 pts); $550-$1M (3 pts); >$1M (5 pts)
   III. Cumulative points: 0-8 pts=low; 9-12 pts=medium; >12 pts=high
   IV. Consideration can be made for projects scheduled to be completed before nominated project's expected obligation

5. Project Manager Experience (Weight Factor: 3)
   I. Risk based on number and dollar amount of projects executed
   II. For each project <$250K (1pt); $250-$550K (2pts); $550-$1M (3pts); >$1M (5pts)
   III. Cumulative points: <3 pts=high; 4-5 pts=medium; 6+ pts=low
   IV. Consideration can be made for projects scheduled to be completed before nominated project's expected obligation

6. Project Manager Time Left in Country (Weight Factor: 3)
   I. Risk increases if project manager leaves before/during project execution.
   II. >6 to 12 months left before redeployment=low; >2 to <6 month before redeployment=medium; <2 months or if project manager is scheduled to redeploy during project execution=high

7. Length of Project (Weight Factor: 4)
   I. Risk increases as project execution timeline lengthens
   II. 0 to 4 months=low; 5 to 8 months=medium; 9 to 12 months=high
   III. CERP projects must have an expected completion date of no more than one year after obligation

8. Sustainability of the project by GIRoA (Weight Factor: 4)
   I. Risk assessment based on likelihood of stakeholder's ability to sustain project based on desired intent, funds/resources, and skill set.
   II. Does the project have a signed sustainment agreement with provincial or ministerial officials specifying a projected monetary amount required for sustainment?
   III. Is there documentation/confirmation of provincial officials requesting the sustainment funding to be placed "on-budget" with GIRoA?

4. The CWG will forward a risk level recommendation to the CERP Review Board within a document containing a summary of CWG discussion and a graphic presentation (*see example figure 2.3*) containing:

   a) Detailed weighted criteria category evaluation,
   b) List of the nominated project's strengths and weaknesses
   c) Necessary risk mitigation factors
   d) Overall approval recommendation

CERP REVIEW BOARD (CRB)

A. Purpose and Organization

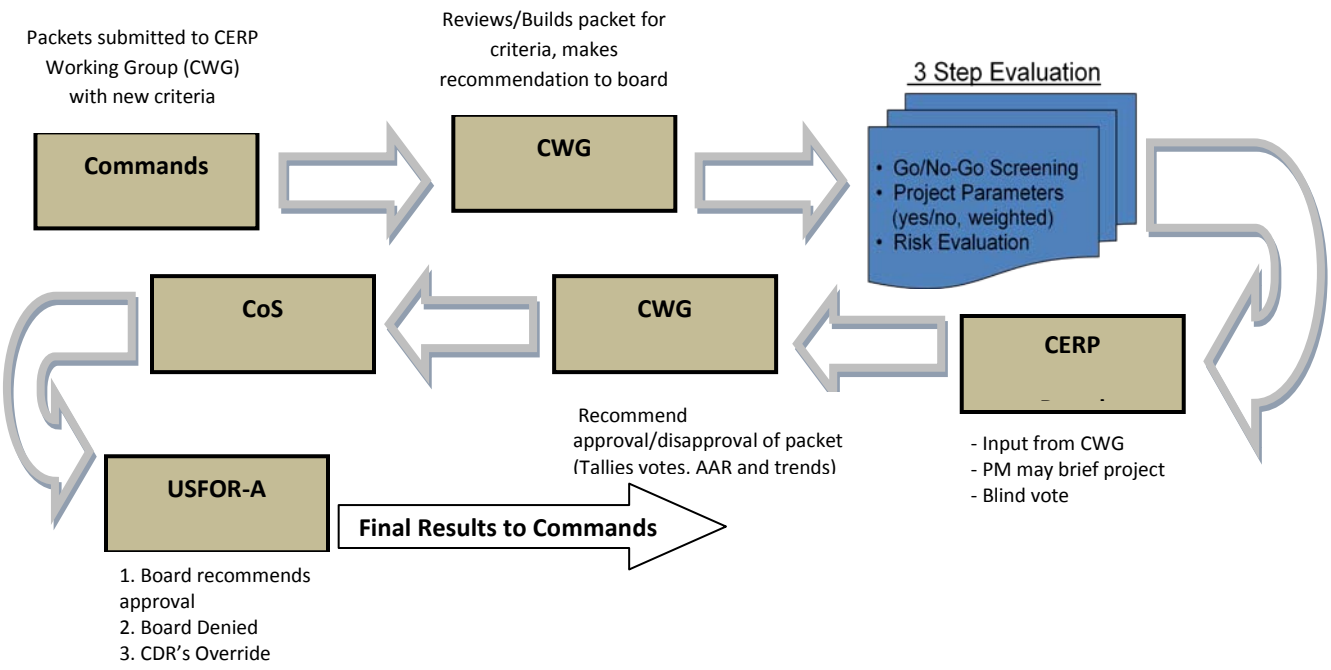
1. The CERP Review Board (CRB) is a Commander's tool that provides a thorough review of a project prior to the Commander reviewing. The CRB provides the due diligence that higher costing projects require.

2. All projects having an estimated cost greater than or equal to $500K will be required to meet a CRB. CRBs provide a venue for the Regional Command and USFOR-A where de-conflicting, coordinating, and decision support actions can be taken.

3. CRBs will take place at the Regional Command level and USFOR-A level. The senior U.S. Commander in the Regional Command has the authority to lower the $500K threshold, but may not raise it. CRBs will convene to review projects prior to providing a recommendation to the Commander.

4. Regional Command CRBs will follow the same procedures as the USFOR-A CRB set out in the following sections.

Figure 2.3
CERP Review Board Process



B. Time and Attendance

1. The USFOR-A CERP Review Board (CRB) will review all projects above the specific Commander's (*Regional Command or organizational*) authority. The board will validate all project nominations are legitimate and advisable for CERP usage.

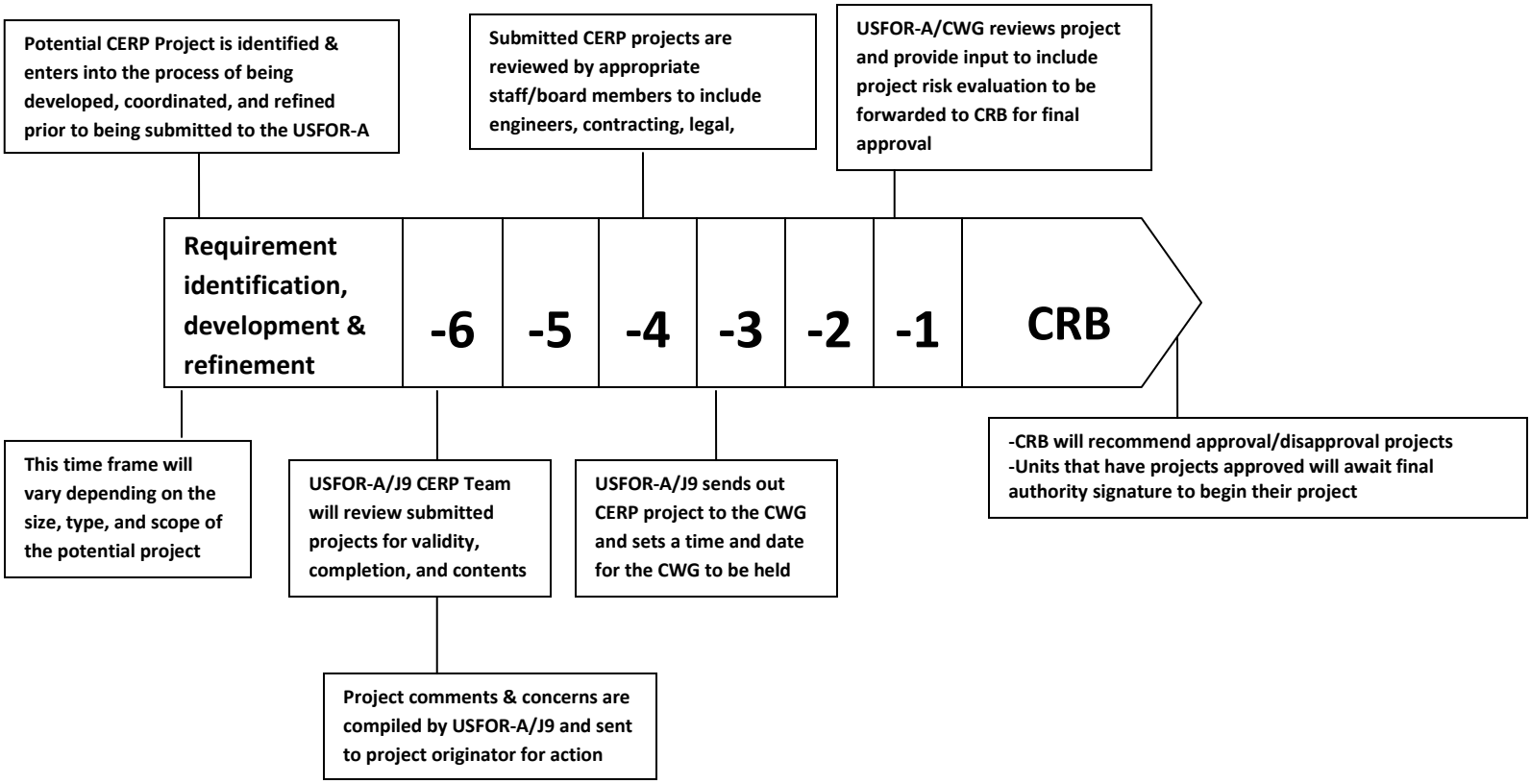
2. The board will be chaired by the USFOR-A Chief of Staff and the voting members are the J8 (Resource Management), J9 (Civil Affairs), JPI (Engineer), Joint Theatre Support Contracting Command JSTCC CCC (CENTCOM Contracting Command), USAID and U.S. Embassy. Personnel from other organizations may attend as advisors.

3. CERP personnel at the Regional Command level will attend the USFOR-A CRB either by VTC, telephone, or in person to brief projects being boarded, gain situational awareness on the program, and receive lessons learned from each board.

   a) CERP nomination packages should be detailed enough to stand on their own; however, subject matter experts are essential to the board review process and can assist in providing additional historical information and ensure the board has all the facts required to make an informed recommendation to the USFOR-A Deputy Commander, USFOR-A Commander, USCENTCOM Commander, and OSD. Furthermore, the board members provide insight and knowledge from their respective

functional areas resulting in project and funding de-confliction and guidance.

Figure 2.4
CERP Review Board Timeline



C. Requirements

1. Prior to the project being presented to the USFOR-A CRB, USFOR-A J9 will conduct a CERP Working Group (CWG) assessment of each project. CWG guidance is found in Section 5. The complete package will be staffed through the voting members and other staff functionals (as appropriate).

D. Review and Approval Process

1. All projects presented to the USFOR-A CRB will be approved, disapproved, or deferred for additional information. The board must have sufficient responses to the following six questions and USFOR-A's priorities for the Afghanistan Theater of Operations.

   a) Foundation:

1. How does this project satisfy an urgent civil support or reconstructive need in the a) short-term and b) long-term? In other words, how does this project alleviate a chronic absence of essential goods or services in your AO?

2. Does the project violate any of the CERP prohibitions identified in DoD FMR 7000.14-R, Volume 12, Chapter 27?

3. Is there a capacity within the area to maintain and operate this requirement (i.e. staffing, funding for recurring operational costs, funding for equipment and supplies, etc.)?

b) Local:

1. Is this project on the Provincial Development Plan (PDP)?

2. If not, which GIRoA leader (local, provincial or national) has endorsed or requested this project?

c) Regional: What is significant about this project and area to the USFOR-A's four Lines of Operation strategy? (*Some examples of Lines of Operations are Security, Governance, Development, and Strategic Communications*)

d) National: Which of the USFOR-A goals does this project align with and how will it support the four Lines of Operation?

e) Metrics:

1. Was a preliminary assessment done to find metrics by which to measure this project's success?

2. When and how will these results be measured?

3. What is the target goal for the results? What end-state is this project trying to achieve?

f) Funding: Is another funding source already available?

2. After the USFOR-A CRB, USFOR-A J9 will publish board minutes within 48 hours on the USFOR-A J9 SharePoint detailing the status of nomination packages pending a USFOR-A decision, the status of nomination packages pending a USCENTCOM and/or OSD decision, and finally, the board's discussions and recommendations.

a) For projects up to $1M, if the project is approved by the board, USFOR-A J9 will route the nomination package through USFOR-A DCDR-S for final approval and signature.

   1. Once approved, USFOR-A J9 will provide the approval letter legal review to the CERP Program Manager(s) to upload in CIDNE.

   2. Once the PR&C has been certified and returned to the Project Manager (PM), the Project Manager (PM) will then change the project status, upload the PR&C, and add the STANFINS number in CIDNE.

b) For projects greater than or equal to $1M, if the project is approved by the board, USFOR-A J9 will route the nomination package through the USFOR-A DCDR-S to the USFOR-A Commander for endorsement and forward to USCENTCOM.

   1. Once approved by USFOR-A, USFOR-A J9 will forward the nomination package and slides to USCENTCOM for coordination and the USCENTCOM Commander's final approval and signature.

   2. If approved, USCENTCOM will email the approval letter and any other supporting documentation to USFOR-A J9. USFOR-A J9 will then notify the CERP Program Manager and provide all approval documentation.

c) For projects between $5M and $20M, if the project is approved by the board, USFOR-A J9 will route the nomination package through the USFOR-A DCDR-S to the USFOR-A Commander for endorsement and forward to USCENTCOM.

   1. The proposed project will be routed through CENTCOM according to the process above and once approved, the project will be sent to OSD for final approval.

   2. Once approved, OSD will send the OSD approval letter, signed PR&C, and any other OSD approval documentation to USFOR-A J9.

   3. USFOR-A J9 will notify the CERP Program Manager and provide all approval documentation.

d) If packages are disapproved, USFOR-A J9 will coordinate with the CERP Program Manager for revision, cancellation or RC initiated request to override the USFOR-A DCDR-S decision to USFOR-A CDR.

3. Construction Projects must consider the following prior to approval:

   a) Does the project have a U.S. Government Engineer Approved Design?

b) Will the U.S. Government have an engineer performing oversight?

c) Who will be the supporting unit and what is their COR strategy?

d) Does the project have support of the PRT?

e) What will be the role of the PRT oversight, if applicable?

f) What is the risk of the project not being completed?

g) How will you assess the capability of the awardee to perform this project?

h) Has this type of contract been done in this area in the past and how successful was the project?

i) What is the security situation on access to the site where construction will be performed?

4. The guidance and principles of COIN Contracting must be considered for all CERP projects. The following questions should be addressed:

   a) Has a potential contracting office been identified by the requiring activity? If so, has the requiring activity worked with a prospective contracting officer to review requirements and provide feedback, and plan for the procurement?

   b) Has the Afghan First Program and "Made Afghan, Buy Afghan" been considered to satisfy requirements?

   c) Does the project have the potential to build Afghan capacity? Is there potential for a training program, education programs, and development of technical skills?

   d) Have potential existing local partnerships been identified that could satisfy the requirements? If so, have they received the solicitation or a request for proposal? Have provisions been made to assist local Afghan firms in the procurement process?

   e) Have potential local Afghan vendors been identified through various sources to include past performance, if available?

   f) Does the requirements document (SoW or performance work statement) require the prime contractor to have subcontracting plans to hire Afghan personnel?

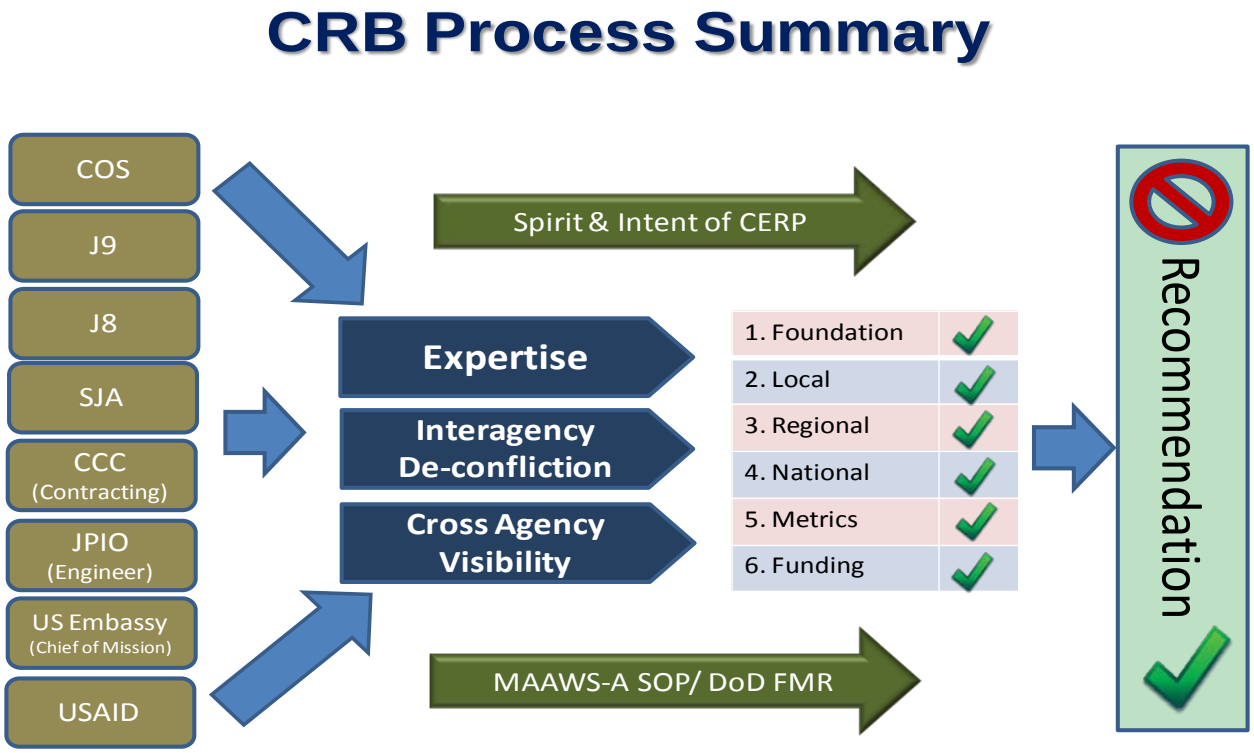
g) Have steps been taken to ensure adequate oversight to enforce contract requirements? Are those identified personnel trained and qualified if special skills are required?

h) Have the vendors been vetted through the local RC vendor vetting process? If so, have the results been considered before awarding a contract?

i) Have the projects included officials at the GIRoA, provincial, district, and village levels? Have their positions been considered?

j) Have arrangements been made for public affairs to participate in key events to “get the word out?”

Figure 2.5
CERP Review Board Process Summary



QUALITY ASSURANCE AND QUALITY CONTROL

A. Purpose

1. The purpose of this chapter is to explain the roles and responsibilities of all personnel involved in the CERP process as it pertains to maintaining standards in accordance with the MAAWS-A for project management and records retention in order to produce the desired level of quality at both the Regional Command and the Task Force or Provincial Reconstruction Team (PRT) level. CERP project quality and desired effects will only be ensured by constantly striving to update and maintain data the Combined Information Data Network Exchange (CIDNE) System, conducting Site Assist Visits (SAV's), and enforcing the daily and monthly reporting criteria.

B. Quality Assurance

1. The planned and systematic activities that are carried out at the Regional Command (RC) level by the Program Managers to ensure that the quality requirements are being met by the Project Managers within their scope of responsibility.

C. Program Manager

1. Monthly review of all projects in the Regional Command, providing additional reporting requirements to those listed below, as necessary to present the best possible scope of activity within their RC
2. Reviews daily reports from all Project Managers and ensures that they are being updated into CIDNE; even if the PM's have no new status to report
3. Conducts random monthly site visits, utilizing the SAV criteria listed below
4. Conducts weekly random spot checks in CIDNE and track the findings to identify points of failure in the Project Managers' operations
5. Immediately report work stoppage on any project to the RC Commander, who will make the determination to notify his/her higher authority based on the CERP Project threshold
6. Continues to provide the monthly Point of Contact and Project Status Update Report by the 5th of each month
7. Ensures that all Civil Information Managers (CIM's) are continually updating and maintaining data integrity in accordance with their individual contract
8. Provides monthly QA report to the commander (including: the number of projects in each province, the status of each project, the number of projects scheduled to close out in the current quarter, any work stoppage or suspension issues, and any cost overages)

D. Quality Control

1. The process carried out at the Task Force or Provincial Reconstruction Team level by which the Project Managers utilize all personnel on their CERP project team to review the quality of all factors involved in the production of each CERP project.

E. Project Manager (PM)

1. Ensures the updated Enhanced Project Management Plan (E-PMP) is continually updated and maintained, especially when outlining the contractors roles and responsibilities
2. Develops a comprehensive Statement of Work (SoW), meticulously detailing the contractor's responsibilities when awarding the project's contract

3. Conducts planned and random site visits as prescribed in the contact and documented in the E-PMP, which should then be updated in CIDNE
4. Ensure that contracted thresholds of work are completed before payment, as listed in the SoW
5. Immediately report work stoppage for any reason to the RC Program Manager and Contracting Officer's Representative (necessary only when the PM isn't also performing the duties of the COR)
6. Must conduct a mandatory weekly review of all projects listed in CIDNE to ensure that all fields are updated in the E-PMP
7. Must conduct a weekly spot check of the Project Purchasing Officer (PPO) ensuring that they are accurately reporting their weekly contract updates, bidding contracts to at least three approved vendors, and drafting contracts that ensure the contractor is held accountable for any project avoidable delays, failures, etc.
8. Must conduct a weekly media review to ensure that all current documentation (invoices, ADR's, etc.) are maintained

F. Project Purchasing Officer (PPO)

1. Works directly for the Project Manager and ensures the contract has a comprehensive Statement of Work (SoW) and implements a corresponding Quality Assurance Surveillance Plan (QASP) to provide oversight on the projects progression. The PPO must draft the SoW and QASP with the Project Officer and have both items reviewed by the RC's Contracting Officer
2. Ensures all contracts have been fairly selected by biding from at least three approved vendors
3. Ensures that contracted requirements are listed in the E-PMP and updated in the CIDNE database. The PPO must provide the Project Manager with a weekly update of all contracts within their area of responsibility, highlighting those projects that have yet to be updated
4. Ensures contracts clearly hold contractors accountable for any avoidable project delays, inability to provide contracted materials, and failures to complete all contracted requirements
5. Provides awarded contracts to the Project Manager

G. Contracting Officer's Representative (COR)

1. Serves as the intermediary between the Contracting Officer (KO) and the Project Manager, when the PM isn't also performing the duties of the COR, who tracks the project's progression to ensure that the contractors are adhering to the Statement of Work

2. Reports any discrepancies to the KO; if the PM is not serving as both the PM and COR on the project, then the COR will also brief any discrepancies to the PM
3. Reviews the Quality Assurance Surveillance Plan (QASP) with the contractor and informs them on how the project's progression will be monitored
4. Provides any reports or updates as directed by the contract to the KO
5. Keeps the PM informed on the contract's status (only necessary when a separate COR is in place)

H. Paying Agent

6. Ensures that all necessary forms and documentation are provided by the Project Manager before funds are released as designated by the contract
7. Provides any necessary information (SF Form 44's, invoices, ODS statements, etc.) that need to be updated in CIDNE by the Project Manager

I. Staff/Site Assist Visits (SAV's)

1. Regional Command Inspection

a. USFOR-A J8 and J9 will conduct periodic inspections on all Regional Commands (RC's) to ensure that all Program Managers are properly tasking their individual Project Managers, and ensuring that all CERP team members within the RC are properly trained, documenting all CERP project performance, and reporting all discrepancies up their proper chains of command

2. Provincial Inspection

a. Each RC must conduct periodic inspections of all Task Forces and Provincial Reconstruction Teams within their Area of Responsibility (AOR), to validate the CERP process and ensure all Project Managers, PPO's, COR's, and CIM's are properly trained and operating within the prescribed guidance of the DOD FMR, MAAWS-A, and any FRAGO's or policy changes that have been put out by USFOR-A, ISAF, or CENTCOM.

3. Project Inspection

a. All Project Managers must conduct periodic inspections of all CERP project sites, as mandated in the MAAWS-A Chapter 2, for which they are responsible. The Project Manager must ensure that all projects are progressing as reported, the contractors are meeting all requirements as

prescribed by the SoW, and all contractors are adhering to the QASP. The Project Manager should bring along the PPO and COR, if a separate COR is appointed, to each SAV to ensure the most comprehensive review of each active CERP Project

J. Reporting Criteria

1. Program Manager and Civil Information Manager's Daily Status Report

a) **Daily Requirements:** Reporting requirements by Regional Command for the CERP and ARP Projects in CIDNE due to USFOR-A J9 via email by 1700

I. Infrastructure Updates: Any system changes or administration changes
II. Personnel Issues: Key personnel on R&R or redeploying
III. Report Statuses from all PRT's and Maneuvering Units: Any pertinent updates for the provinces within each RC
IV. CERP/ARP Project Updates (Daily Changes Only)
V. Special Limitations: noting any units unable to access CIDNE
VI. In addition to the Daily Status Report, every Friday each RC must utilize the over $100K Contract Information Spreadsheet provided by USFOR-A J9 (available in appendix G) to provide an updated list of all contracts

2. Program Manager and Civil Information Manager's Monthly Status Report

b) **Monthly Requirements:** Reporting Requirements by Regional Command for the CERP and ARP Projects in CIDNE due to USFOR-A J9 via email by the 5th of the following month

I. Program Manager provides assessment of satisfactory performance by CIM
II. Provide a current list of all CIM's and PM's working at each unit
III. Provide a complete list with all active projects' status by RC and date of most recent update in CIDNE

i. Include a breakdown of all project milestones as listed in the E-PMP
ii. Label all projects behind schedule as updated in CIDNE
iii. Label whether projects were entered in SIPR or CENTRIX Channels

iv. Include CERP/ARP Project Updates (All Changes within the Month)
v. Label all terminated projects as updated in CIDNE

IV. Provide list of any provincial connectivity issues with current trouble ticket date and number by Regional Command
V. Provide a list of the most recent SAV by PM/CIM to PRT's or Maneuvering Unit within the RC
VI. Provide a list of the most recent training that each RC's J8 and J9 unit provided to any PRT or Maneuvering Unit within the RC
VII. Provide USFOR-A with the most updated RC Top 5 (most important) CERP Projects

3. **Note:** These reports serve as a minimum that needs to be seen by USFOR-A J9. Additional requirements may be set by the Program Manager at each Regional Command to ensure optimal daily operation of all personnel within the RC. PM's should work directly with CIM's to provide all requested information and the reports can be tailored by each RC to best illustrate its scope of operations. Please note if there should by any additional information that should be routed up with either of these reports.

CONTINGENCY SITUATIONS

A. **Cost Increase**

1. Any cost increase occurring on a project exceeding 10% of the approved estimated cost (*cost annotated on the approved PR&C*) will require the project to be re-approved. If the project's updated cost breaches the previous approving Commander's authority, the project must be re-approved by the appropriate level U.S. Commander. If a project has already been approved by the USFOR-A Commander and/or USCENTCOM Commander, any substantial changes in project scope, the statement of work, or cost increases exceeding 10% must be re-submitted to the USFOR-A CERP Review Board, approved by the USFOR-A Commander, and approved by the USCENTCOM Commander prior to the commitment of additional funds.

2. If the increase in cost is due to the USACE or USAID surcharge (and was not previously accounted for in the estimated cost) the CERP project will not require a re-board, unless it exceeds pre-established approval thresholds.

3. For a Request for Additional Funds (RAF), the ADR must be updated to reflect the new cost estimate and must be re-signed by an O-5 level U.S. Commander (or above) and the CERP Program Manager.

4. For a RAF, a Funds Increase Memorandum (FIM) must be submitted along with the original certified PR&C.

5. If the project costs exceed the amount on the DA Form 3953 (PR&C), DD Form 1149, or DD Form 448, the PO will immediately contact the approving Commander and Project Manager (PM), who in turn, will notify the unit's CERP Program Manager. The approving Commander will either suspend work on the project or approve a FIM (*prepared by the Project Manager (PM)*) for the difference. The Commander approving the funds increase must have approval authority high enough for the total cost of the project. If not, the FIM (*and project nomination package*) must be submitted to the next higher level for review and approval. **NOTE**: **All FIMs must be routed through the RM Office for funds certification, once the cost increase has been approved. Do not proceed with any contracting modifications, work authorizations, or disbursements before funds have been certified on the FIM by the RM Office**.

6. For projects that have a cost increase less than 10% from the approved estimated project cost, but exceeding the approved amount on the PR&C (*or funding document*) require a FIM (*signed by the U.S. Commander who approved the project*) that will be completed and submitted along with the original contract and PR&C (*or funding document*) to the RM Office in order to commit the additional amount of CERP funds. Once the FIM is certified the contract modification will be processed and submitted to the RM Office for obligation.

7. For projects that are obligated at an amount that is below the approved amount and subsequently have a cost increase (*that will still result in the cost being below the approved project cost listed on the approved funding document*), the Program Manager can sign a FIM and the Project Manager (PM) can provide that FIM along with the original contract and approved PR&C (*or other funding document*) to the RM Office and the RM Office will process the funds increase. Once the FIM is certified the contract modification will be processed and submitted to the RM Office for obligation.

B. **Project Cancellation or Termination**

1. PMs must close out cancelled or terminated projects.

   a. For projects less than $1M, the Project Manager (PM) will notify the approving Commander.

   b. For project equal to or greater than $1M, the Project Manager (PM) will notify the USFOR-A J9 office.

2. If the project is cancelled or suspended after the funds have been obligated, the PO will immediately notify the approving Commander and Project Manager (PM) who in turn, will notify the unit's CERP Program Manager and the RM Office.

a. The PO will then modify the contract to de-obligate the unexecuted amount. He/she will provide copies of the contract modification to the RM Office, the Project Manager (PM), and the CERP Program Manager. (**NOTE**: A contract cancellation doesn't always result in 100% de-obligation. Certain contracts require mobilization costs or termination fees, which must be paid in accordance with the contract terms, even if no work has been performed).

b. The RM Office will use the contract modification to de-obligate the funding in the accounting system and update the CERP checkbook accordingly.

c. The Project Manager (PM) will then update the ADR in CIDNE accordingly.

3. Once the project has been cancelled or terminated, the Project Manager (PM) will close the project in CIDNE and notify the CERP Program Manager, who will, in turn, notify the RM Office to update the CERP checkbook). In CIDNE, the "Project Status" field will be changed to "Terminated" or "Cancelled," the "Project Closure" section will be completed, and any final disbursements will be added. The Project Manager (PM) must identify what the status of the project is upon cancellation or termination and annotate in the CIDNE ADR and on the Project Closure Memo. The Project Manager (PM) must work with the Resource Management (RM) Office and Regional contracting Center (RCC) (if applicable) to ensure the funding is reconciled correctly. If funds were de-obligated, the "Amount Allocated (USD)" field in CIDNE should be updated accordingly.

4. The Project Manager (PM) will consolidate all documents generated during the project and upload them into CIDNE if not already accomplished.

5. Commanders are required to review the project file, all disbursement vouchers, and supporting documentation. After review, the Commander will issue a project clearance memorandum to the Project Manager (PM) stating: "I have reviewed and approved the project file in the amount of $<*enter project total*>. It is accurate and complete and it adheres to the guidelines set forth in the current USFOR-A CERP SOP and applicable FRAGOs." The Project Manager (PM) will prepare the project file for closure and review with the Commander. The Commander will also sign the ADR, showing the project status as "Terminated" or 'Cancelled" and with a completed "Project Closure" section. The Project Manager (PM) will add the Commander's project clearance memorandum and the signed ADR to the project file and upload it to CIDNE.

6. The Project Manager (PM) will then submit the completed project file to the RM Office for review and reconciliation. The RM Office will take appropriate action, based on the project file, to clear all unliquidated obligations in the accounting system.

7. The Project Manager (PM) is responsible for making corrections or providing memorandums explaining lost or illegible documents and must be endorsed by the approving Commander.

8. After receiving all the required documentation in the project file, the RM Office must provide a print-out of the document from ODS showing the project has been cleared in the accounting system. At the bottom of the ODS print-out, the RM Office must add the following statement: "CERP Project # (add 14-digit CIDNE number) has been cleared and properly recorded in the accounting system." **The RM Office will then endorse the ODS print-out. A copy of this endorsed print-out will be placed in the project file and uploaded to CIDNE.**

C. **Unique Project Approval/Routing Situations**

1. In unique cases, CERP projects may be initiated and executed in locations in one Regional Command, however the U.S. personnel executing the projects have a chain of command tied to a different Regional Command. For example, there may be a unit of U.S. personnel living in a community or on a FOB in RC-W, yet their chain of command and higher headquarters is in RC-S; in this case the CERP team located in RC-W must gain approval from the nearest U.S. Commander in RC-W. While they must gain approval from a U.S. Commander in the region, they must also inform their chain of command in RC-S to ensure they are aware of the projects their unit is completing.

D. **Alternate Course of Action When CIDNE Server is Non-Operational**

1. If a unit is unable to access CIDNE due to system failure (*this does not include poor internet connectivity*), the unit's CERP Program Manager will ensure all CERP personnel are aware of the system failure and implement the predetermined contingency plan. The contingency plan will utilize a spreadsheet ADR that mirrors CIDNE. When system access is restored, the complete spreadsheets will be uploaded. In the event of extended non-access to or local system downtime the Program Manager will send completed forms to another unit or USFOR-A J9 for CIDNE upload.

CHAPTER 3: CERP FINANCIAL MANAGEMENT INSTRUCTIONS

1. GUIDANCE
2. RM SYSTEM ACCESS REQUIREMENTS
3. CERP CHECKBOOK PROCEDURES
4. COMMON PROBLEMS
5. UPDATES
6. RECONCILE
7. SPECIAL INSTRUCTIONS FOR ADVANCE BULK FUNDS
8. CERP PAYING AGENT (PA) STANDARD OPERATING PROCEDURES
9. RESOURCE MANAGEMENT OFFICE PROJECT FILE REQUIREMENTS
10. CERP RESOURCE MANAGEMENT TURNOVER PROCEDURES
11. CERP QUARTERLY REPORT PROCESS and TIMELINE
12. ELEMENTS OF RESOURCE FOR CERP
13. CIDNE PROJECT DESCRIPTION TEMPLATES by CATEGORY

GUIDANCE

A. CERP projects must be entered into the local CERP Document Control Register (DCR), by the local RM office, once the project has been approved. The local RM office is responsible for reviewing projects for required documentation, certifying CERP funding, processing current year CERP commitments and obligations into RMT and reconciling CERP funding data. The STANSFINS/Document Reference Number (DRN) assigned to the CIDNE project must match in the accounting systems (RMT & ODS), the CERP Checkbook, and CIDNE Financial Tab. All CERP projects receiving a certified PR&C must reflect a STANFINS/DRN number in CIDNE's Financial Tab; (S9 representative should enter a commitment based on the PR&C and later enter an obligation based on the proper obligation document (SF44, awarded contract, micro grant agreement). The RM office is responsible for balancing their local CERP Checkbook monthly/quarterly/ annually and answering/coordinating requests for information (RFI's) responses via the CERP Reviewing/Reporting Toolset (CRRT). **NOTE**: The S9s (or equivalents) and the CERP Program Managers **may** enter projects and bulk fund withdraws into the CERP Checkbook as they are approved; however, it is not mandatory until funds are obligated.

B. Current Process:

1. The CERP Resource Manager must track all CERP projects via the CERP Checkbook Report, which is their local Document Control Register (DCR). The DCR should be balanced on a daily basis with ODS and RMT to ensure sound financial records for end of month, end of quarter, and end of year Congressional reporting. The RM office must coordinate with the S9 and Project Managers to ensure the STANFINS/DRN numbers are loaded into the CIDNE Financial Tab in a timely manner. RM offices will use the CERP Reviewing/Reporting Toolset (CRRT), an automated system used to review

and report the CERP checkbooks monthly, quarterly and annually to Congress. The CRRT links/merges the financial systems data (based on the STANFINS/DRN number) and the project data from CIDNE to create an automated Congressional report. Reference the CERP Checkbook Monthly/Quarterly Report Process and Timeline.

a. **CIDNE Financial Tab**- this is the section in CIDNE where the STANFINS/DRN (or GFEBS number) commitment and obligation data should be entered. Financial dollar figures cannot be entered into this tab, as this will be an automated process. The CIDNE Report Tab should no longer be used to enter STANFINS obligation data. (S9 representative should enter a commitment STANFINS based on the PR&C and later enter an obligation STANFINS based on the proper obligation document (SF44, awarded contract, micro grant agreement)). Reference the CIDNE Training Guide maintained by USFOR-A J8. The required Financial Tab field entries are:

    1. Commitment STANFINS/DRN number
        a. Ends in “AA” or begins in “M” for traditional projects
        b. Ends in “ZZ” for bulk funds
    2. Fiscal Year
    3. Obligation STANFINS/DRN(s)
        a. Ends in “AA” or begins in “M” for traditional projects
        b. Ends in “01, 02, 03, …. for bulk funds
    4. Project Category for each STANFINS/DRN
    5. Short Project Description (2-3 sentences)
    6. Province
    7. District
    8. Contract Number (upon availability)

2. Resource Management (RM) Offices and S9s are required to update the project’s status and pertinent checkbook blocks in CIDNE, as changes occur; RM Offices are responsible for the financial data and S9s are responsible for the project data in the CERP Checkbook. The CIDNE Financial Tab is the main point of entry for financial data in CIDNE; all commitment and obligation STANFINS numbers will be processed in this location. The Financial Tab does not allow financial (dollar figure) entries, because this is an automated process in progress (INDURE is not online) which uploads financial data into CIDNE. **NOTE: Where no S9 (or equivalent) exists, the CERP Program Manager will assume the responsibility of ensuring project data is made available to the Resource Manager/Checkbook Managers/CIDNE Quality Assurance Managers.**

3. CERP RMs are responsible for reviewing project data submissions in CIDNE via CRRT to ensure the required fields used to auto-populate the automated checkbook report are filled in and correct. Although the fields merge CIDNE project data with financial data, the end product, “CERP Checkbook”, is a financial product submitted to Congress. The RM office is responsible for

verifying the checkbook is complete. They must coordinate the editing of missing or invalid entries with S9 or unit level contacts. Corrections must be processed in CIDNE and RFI's answered in CRRT.

C. **Resource Managers will provide a CERP payment status each month to Purchasing Officers (POs) and Contracting Officers (KOs).**

D. Future Process

1. The General Fund Enterprise Business System (GFEBS) will be coming online in July 2012 to replace Army legacy systems (RMT, ODS, and STANFINS). The CERP process in GFEBS has not been finalized and is a work in progress. (Contact USFOR-A J8 for guidance.) GFEBS will take the place of RMT/ODS entries for transactions after July 2012; all transactions before July 2012 will remain in RMT/ODS/STANFINS. The RM office will use GFEBS to enter commitments and obligations for current year CERP transactions. **NOTE: Reconciliation for transactions prior to 1 July 2012 must take place in the legacy systems, while transactions beginning 1 July 2012 will be reconciled in GFEBS.**

RM SYSTEM ACCESS REQUIREMENTS

A. All RM Offices should have access to the following systems to perform the required CERP operations (contact USFOR-A J8 for access questions):

1. NIPR PC, SIPR PC, CENTRIX (ISAF SIPR) PC (network/e-mail access)
2. Resource Management Tool (RMT)
3. Operations Data Store (ODS)
4. CIDNE (SIPR/CENTRIX)
5. CERP Reviewing/Reporting Toolset (CRRT)
6. WebTas (CIDNE data extraction program)
7. General Fund Enterprise Business System (GFEBS)
8. Adobe Acrobat 9 Pro (for certification of documents)
9. Electronic Document Access (EDA)

B. All RMs are required to take the current online Comptroller Accreditation & Fiscal Law Course and prepare the required DD Form 577 and Delegation of Authority to Certify Funds memorandum to receive funds certification authority. Reference *DFAS-IN Regulation 37-1, Para 0316* and *DoDFMR Volume 5, Chapter 33, Section 3304.*

CERP CHECKBOOK PROCEDURES

A. **CERP Automated Checkbook Columns:** Follow the instructions below for entering/updating a project in the CERP Checkbook. Some of these fields are auto-populated, but the majority must be entered into the local DCR and CIDNE. These fields should coincide with the data entered in CIDNE. Items 14-20 only apply to projects >$500K:

1. Quarter (QTR): Quarter in which project was obligated in accounting system.

2. Account Processing Code (APC): Unit Identification code beginning with "GF##", received from Resource Management. Can be retrieved from RMT (GFEBS will have a "fund center" instead of an APC.)

3. Unit: Unit information will populate automatically from CIDNE Report Tab database. The report to Congress will only show detail down to RC level.

4. Document Reference Number: STANFINS/DRN (14-digit number assigned locally or number auto-generated by GFEBS) will populate automatically from financial systems.

5. Project Category: CERP categories (20 possible choices from *DoDFMR, Vol 12, Ch 27 Paragraph 270104 & Ch 27, Annex A*) will populate automatically from CIDNE Financial Tab database.

6. Obligation Date: Date of first obligation in RMT for the project will populate automatically from financial systems.

7. Project Title / Description: Description populates automatically from CIDNE database. It should include one or two sentences that describe the project for a person not familiar with it. Do not provide a history; state what the project is and the benefit it will provide. Do NOT use acronyms other than those common in non-military speech ("US" is an example of an acceptable acronym; "IAW" and "IVO" are examples of unacceptable acronyms). For battle damage payments, list only what was damaged (such as "home," "household items," "wheat field") and state/confirm that damage happened during US/coalition operations. For condolence and hero payments, state/confirm only that death/injury occurred during US/coalition operations (do not detail how occurred; do not detail operation or provide names), and only state number of personnel killed (or wounded, as applicable). For micro grants, state the words "Micro grant" and list the type of business (no other description is necessary); all micro grants must be in "Economic, Financial, and Management Improvements" category. "Humanitarian aid" is insufficient description by itself; state what specific product(s) and/or service(s) are being provided. The phrase "commander's small-scale projects" may only be used for commitments prior to any obligation or disbursement. Do not use the words "bulk fund" or "cash for work." If there are several very similar projects, include the area/neighborhood in each description to avoid the appearance of a split purchase. Reference the CIDNE Training Guide maintained by USFOR-A J8 and the CIDNE Project Description Templates by Category.

8. Location: Province: Province where project is located will populate automatically from CIDNE Financial Tab database.

9. Committed: Amount committed for project will populate automatically from financial systems.

    a. Traditional projects will end in “AA” or begin with “M” (MIPR or MOD)

    b. Bulk fund projects will end in “ZZ”

10. Obligated: Amount obligated for project will populate automatically from financial systems.

    a. Bulk fund projects will not be obligated on the DRN ending in “ZZ”, they must be obligated with the corresponding SF44 sequence, (01, 02, 03…..).

    b. The PO should provide the RM Office contract copies for obligation as soon as available. For bulk funds, the PA/PPO via the CERP Program Manager send copies of the SF Form 44(s), CDR’s closure memo, and closure ADR to the RM Office. The RM Office provides a release memo which contains the unique STANFINS/DRN number for each payment/project. The RM Office obligates at this time, before he PA/PPO proceed to Finance to clear their bulk funds. Finance will use the RM release memo to post the disbursements to each unique STANFINS/DRN number.

    c. The PA/PPO should not skip the RM Office and go directly to Finance for closure, as this will create NULOs (negative unliquidated obligations). NULO’s occur when funds are disbursed without having an obligation in the accounting system.

11. Disbursed: Amount disbursed for project will populate automatically from financial systems.

    a. The RM Office should work with the Project Manager (PM) on the documentation required to clear unliquidated obligations (ULOs) once a project is closed and cleared through the Finance Office.

12. Project Status and Disposition: One of five choices (Nominated; In Progress; Complete-Transferred; Complete-Not Transferred; or Terminated) will be selected for the report to Congress based on status in CIDNE database combined with project completion date from Column 11. Project will NOT be considered complete unless scope of work AND all financial transactions are complete (i.e., commitments = obligations = disbursements) by the completion date in Column 11. The below listed categories are OSD reporting requirements:

    a. ***“In Progress”***: When funds are committed in the accounting system (ODS), until the project is ***“Completed, not Transferred”***, “***Completed/Transferred”***, or ***“Terminated/Cancelled”***. **NOTE:**

Reimbursable DD Form 448's will remain in ***"In Progress***" status until work on the project has been ***"Completed, not Transferred"*** , ***"Completed/Transferred"***, or ***"Terminated/Cancelled"*** although funds appear as fully disbursed in the accounting system (ODS).

b. ***"Completed, Transferred"***: To be used for **all** projects, once (1) the project has been completed in accordance with this SOP; (2) the project has been transferred to the GIRoA (if applicable); (3) the vendor/claimant has been paid in full; (4) the commitments, obligations, and disbursements have been properly recorded in the accounting system (ODS); and (5) an O-5 level U.S. Commander (or above) has signed the Project Manager (PM)'s project clearance letter. **NOTE:** Projects not required to be transferred to the GIRoA will still be categorized as ***"Completed, Transferred"*** once completed in accordance with this SOP.

c. ***"Completed, not Transferred"***: Only used for projects that are required to be transferred to the GIRoA for sustainment purposes (i.e. construction or equipment projects greater than $50K). This status will be used when the project has met the criteria above (Para 14.b) except that the GIRoA has not yet taken ownership of the project.

13. Actual or Projected Completion Date: (Estimated or Actual End Date in CIDNE) Date entire project (not just financial close-out) is complete – this date must reflect the actual date of the ODS closure confirmation (see Ch2, Section G, Para 7) provided from the applicable RM office. This date must be accurate, if not to the day then at least showing the exact month the project closed or is expected to close. Date will populate automatically from CIDNE database. ***"Completed, Transferred"*** or ***"Terminated/Cancelled."*** *(The "projected completion date" must match the "Estimated or Actual End Date" in CIDNE. The "actual completion date" must also match the closure date identified in the "Project Closure" section in CIDNE.)*

14. **Note whether project sustainment required (Y/N) and/or arranged (Y/N):** *Required for projects greater than $500K. Input Yes or No. All fields for >$500K will populate automatically from information in the CIDNE Report Tab database.* (When a project is created in CIDNE, the system will prompt verification of > or < $500K; additional fields will populate accordingly.)

15. Project Sustainment Required (Y/N): Input Yes or No.

16. Project Sustainment Arranged (Y/N): Input Yes or No.

17. Transition Plan to Government: *Required for projects greater than $500K.* Describe the plan for transitioning the project to GIRoA. Explain any commitment by GIRoA for the sustainment of the project.

18. Date Project will be / was transferred to Government: *Required for projects >$500K*. Based on the transition plan, when will this project be transferred to

GIRoA for sustainment (example: 1 Mar 09)? *(Must coincide with turnover date identified in the "Project Closure" section in CIDNE.)*

19. Justification as to how project supports CERP: *Required for projects >$500K.* How does this project qualify for CERP? *(Must coincide with the "Problem Statement" in the "Performance Metrics" section in CIDNE.)*

20. Amount of GIRoA funds used for project: *Required for projects >$500K.* How much did GIRoA provide toward this project? *(CIDNE does not accept $0.00 entry. If GIRoA fund value is zero, enter 0.01 until further notice.)*

B. **Formatting:** The description, transition plan, and justification sentence structures must meet the congressional requirements. Spelling and grammar will be checked and will require editing before the checkbook is submitted to congress. For the automated checkbook report, no additional formatting is required as the report is built to comply with congressional requirements.

COMMON PROBLEMS

A. Many projects are being categorized incorrectly or are using the "Other Urgent Humanitarian or Reconstruction Projects" as a default. Project categories should match the requirement. For additional guidance, see *DoDFMR, Volume 12, Chapter 27, Annex A, or Annex A* of this guidance.

    1. Do not use the "Other Urgent Humanitarian or Reconstruction Projects" category for all shuras. Each shura should be in support of a particular project; use that project's category for the shura category.

B. Do not use all CAPITAL letters in the description, justification, or sustainment fields.

C. CERP project descriptions must be clear, concise, and understandable to a layman. Only a two to three basic sentence template must be used to ensure Congress gets the basic point/outcome of the project. Congress does not have access to view project details in CIDNE, this description is the only thing they have available to review the CERP project. Reference the CIDNE Project Description Templates by Category.

D. Project justifications and sustainment fields must be specific to the actual project and contain enough project background data.

E. Do not use acronyms, abbreviations or local Afghan words; one exception is "shura".

F. Leave no required fields blank.

G. Ribbon-cutting ceremonies should be processed on a separate PR&C than the project the ceremony is supporting. Ribbon-cutting ceremonies are separate/stand alone requirements. (Do not process from the original project's PR&C, but do use the project's category.)

H. Do not obligate DRN numbers ending in "ZZ"; these should only be processed as bulk fund commitments in RMT.

I. CERP is not subject to requirements in the Federal Acquisition Regulation (FAR), Defense Federal Acquisition Regulation Supplement (DFARS), DFARS Procedures, Guidance, and Information (PGI), Army Federal Acquisition Regulation Supplement (AFARS) or the Prompt Payment Act (PPA). There should be no interest charges posted against any CERP contract. Coordination to re-coup erroneous interest payments to a vendor must be processed through DFAS to initiate a debt package (current e-mail: DMR-AcctsRecDMR@dfas.mil).

J. CERP was not authorized a FLUX account in FY12, per the USARCENT Foreign Currency Fluctuation Account Guidelines and Line of Accounting, Version FY12-1, dated 5Oct12. USARCENT has not finalized the FY12 FLUX SOP; contact USFOR-A J8 or send correspondence to the ARCENT Afghanistan Desk Officer at (3A-USARCENT-ATL-G8-DESKAFGH) arcent.deskofficer.afghan@arcent.army.mil for further guidance.

K. CIDNE Estimated or Actual End Date must match the final ODS report provided by the RM office showing the obligations, accruals and disbursements. The Estimated or Actual End Date should not be the RM release memo date or the CDR's closure memo date. This date must reflect the financial closure date reflected on the certified ODS print screen provided by the RM Office.

UPDATES

A. During the execution phase (life of the project), the following must be continually updated in CIDNE to capture the project's most current status**:**

1. Project estimated amount; (commitment, obligation, and disbursement amounts will populate automatically from financial systems)
2. Project Status.
3. Planned/Actual End Date. (CIDNE Estimated or Actual End Date)
4. Date project is transferred to the GIRoA.

B. Terminated Projects should not be deleted from CIDNE; the project status should be updated to **"*Terminated*"** and should remain on file for an audit trail. Once a STANFINS number has been assigned and obligated in the accounting system, it must remain available in CIDNE to reflect the STANFINS number reported in the monthly/quarterly/annual financial reports to Congress. If the record is deleted from CIDNE, a dummy record will have to be created by USFOR-A J8 to capture

the STANFINS obligation that was captured at that point in time (whether the project was terminated or not) in the accounting system.

1. Do not overwrite the STANFINS number on a CIDNE project that has been terminated with a new replacement STANFINS number. There should be a new CIDNE project number created for a replacement project instead of overwriting the existing terminated project.

C. Project descriptions will be updated by USFOR-A J8 and other entities (ABO or DMT) to meet the monthly/quarterly/annual checkbook report requirements for Congressional submission. If project description or sustainment information has been edited/updated, do not re-edit. Contact USFOR-A J8; the update was completed to meet requirements for Congressional submission.

RECONCILE

A. The RM Offices, in conjunction with the S9s (or equivalents) and CERP Program Managers, must reconcile the CERP Checkbook weekly to verify all projects have been inputted to the CIDNE Financial Tab, RMT, ODS, and that dollar values match in the CERP Toolset (CRRT) automated report. See CERP CHECKBOOK PROCEDURES section above. Reference the *CERP Checkbook Monthly/Quarterly Report Process and Timeline.*

1. On a monthly basis, the units must ensure all projects are up-to-date and accurate by the 5th of each following month.

2. On a quarterly basis, the units must ensure all projects are up-to-date and accurate by the 5th of the following month ending the quarter.

3. The RM Office should run an ODS/RMT report and a CERP Toolset report at the end of each month to capture the CERP status. These two reports should be reconciled, certified, and filed for future audit purposes. Annotate any STANFINS numbers that have unique circumstances, outstanding action, and any corrective actions taken on inconsistencies found.

B. NULOs (Negative Unliquidated Obligations) should be reconciled as soon as identified. Research in RMT/ODS, verify obligation documents (awarded contract/ SF44s/DD250's), verify disbursement documents (Invoice, DD250's, SF1034's) and verify with the PM/PA regarding the missing obligation documents or erroneous transaction. The obligation must be processed in RMT/ODS to clear the NULO. If there is an erroneous disbursement posted against a line this must also be researched and cleared.

C. Prior Year reconciliation will be accomplished at least monthly for all projects with outstanding available balances (unpaid balances). Run a monthly report in ODS/RMT to find any prior year outstanding balances and research the status of the project with the S9's, Contracting, and Project Manager. Ensure all applicable documentation is provided for deobligation request. Reference the

RESOURCE MANAGEMENT OFFICE PROJECT FILE REQUIREMENTS section, item 7.

D. Joint Reconciliation Program (JRP) is processed by USARCENT annually to meet the requirements set forth in the *DoDFMR, Volume 3, Chapter 8, Section 0804, Triannual Reviews of Commitments, Obligations, and Accounts Payable and Accounts Receivable.* Fund holders, with assistance from supporting accounting offices, shall review dormant commitments, unliquidated obligation, accounts payable and accounts receivable transactions for timeliness, accuracy, and completeness during each of the four month periods ending on January 31, May 31, and September 30 of each fiscal year. Each RM Office will receive a list of required documents to review and validate with appropriate deadlines directly from USARCENT liaisons.

SPECIAL INSTRUCTIONS FOR ADVANCE BULK FUNDS

A. Funding Document Requirements and Maintenance of the CERP Checkbook

1. It is not a requirement to have a separate DA Form 3953 (PR&C) or DD Form 1149 for each type of bulk funds withdrawal (condolence, battle damage, former detainee, and Afghan hero payments, and Commander's Small-Scale projects). There can be a single bulk fund withdrawal for several types of bulk fund requirements, but individual SF44's must be processed for the payments made from the blanket bulk fund withdrawal.

    a. An individual CERP category (condolence, battle damage, former detainee, and Afghan hero payments) must be reflected in the CIDNE Financial Tab to specify the type of payment made for each STANFINS/DRN (in accordance with *DoDFMR, Volume 12, Chapter 27, Annex A*) (*i.e. condolence payment, battle damage repair, former detainee payments, or Hero payments*).

    b. Any bulk fund payments made for Commander's Small-Scale projects must properly reflect the type of small project category (*ex: if $5K was paid to purchase/distribute wheat seeds, the category should be Agriculture; if a school was constructed and a ribbon cutting ceremony was paid for the opening, the category should be Education*).

2. Each project will have a separate line on the CERP checkbook per CERP Project Category. Each unrelated project should have its own unique STANFINS/DRN 14 digit number.

3. Multiple SF 44s (multiple payments) made for the same project should be "rolled up" into one project, summarizing the payment descriptions and totaling the SF 44 payment amounts. For example, for a bulk fund withdrawal, where 3 payments were made to refurbish a school and 2

separate payments were made for battle damage, there should be 3 separate lines inputted into CIDNE and the CERP Checkbook. The descriptions should read as follows:

a. Line #01, state: "Payments made to carpenter, mason, and plumber for refurbishment of school (list name of school)." This line would represent multiple SF 44s paid to different vendors. Total the payments of the SF 44's – this would represent the total cost of one project. This one project would have one unique STANFINS number.

b. Line #02, state: "Battle Damage payment for loss of (item(s)) during US/Coalition Operation". This one project would have a unique STANFINS number.

c. Line #03, state: "Battle Damage payment for loss of (item(s)) during US/Coalition Operation". This one project would have a unique STANFINS number. Even though this payment falls under the same category as payment #02, it should be considered a separate project if it was unrelated to the events of #02.

4. To clear bulk funds with the Finance Office, PAs must provide the Finance Office with the RM release memorandum showing that the PA has provided all necessary documents, including those listed in *Annex B* of this SOP under the "Project Payment" section. The RM Office will provide the PA with new 14 digit STANFINS number for each project paid in the bulk fund (a STANFINS for each SF44 payment). Without the RM release memorandum, the Finance Office will not be able to process/post the payments or clear the PA.

5. **NOTE:** Resource Managers are <u>not</u> authorized to certify funds on a new DA Form 3953 (PR&C) issuing additional bulk funds to PAs, until after the PA has provided proper documentation (SF Form 1034(s), SF Form 44(s) and DD Form 1081(s), CDR closure memo) showing he/she has cleared with the Finance Office for 100% of his/her previous bulk funds draw. **NOTE:** There may be instances where the PA turns in all required closure documents to the RM Office for one project (and received a RM release memo) and at the same time be issued a new PR&C for a new project. In this instance the RM Office will close the previous project before opening a new project. The Finance office will close the old project and then open the new project, all in one appointment. (Manning constraints and geographically separated units require this exception to policy, as they don't have appropriate manning or a local Finance office.) The local FMCO office may have their own local policies that may not allow two transactions in one.

B. **RMT Input Guidance for CERP Bulk Funds:** (RMT user manuals are available on the RMT login website for more detailed instructions.) The initial commitment RMT Description will be one of the following: Bulk Funds (Commander's Small-Scale Projects), Bulk Funds (Condolence Payments), Bulk Funds (Battle

Damage Repair), Bulk Funds (Former Detainee Payments), or Bulk Funds (Hero Payments). The "Comments" fields in RMT will be used in the following way:

1. Comment 1 = CIDNE #

2. Comment 2 = PA Name & Rank & PO Name\Rank\Unit

3. Comment 3 = Name of individual inputting data into RMT\Date of Input

(Each RM Office operates differently; ensure basic information is entered in RMT comment fields.)

C. **Payments to Individuals:** (i.e. condolence, battle damage, former detainee, or Afghan hero payments)

1. The PA will make disbursements using a SF44, and maintain an excel spreadsheet roster, that provides the name of the recipient, the amount paid, and the recipient's signature (or the signature of the head of the household). ***NOTE****: For condolence payments, the name of the deceased must be annotated on the roster.*

2. The PO and PA will sign each SF44 certifying the actual payments were made to Afghan individuals or the heads of households.

3. The documentation for payments to individuals is required to clear the Finance Office and must be maintained in the project file and uploaded to the ADR in CIDNE for compliance review and audit purposes. The documentation will include, but is not limited to:

   a. The individual SF44's for each payment

   b. The PA's disbursement roster

   c. The date the incident occurred

   d. District and province where incident occurred

D. **Payments for Commander's Small-Scale Projects:** Individual project expense receipts will be maintained for the Commander's Small-Scale projects, CERP conferences (shuras), and ribbon-cutting ceremonies. The expense receipts are required to be maintained in the CERP project file and uploaded to the ADR in CIDNE for compliance review and audit purposes.

CERP PAYING AGENT STANDARD OPERATING PROCEDURES

A. CERP PAs are responsible for reading the PA portion of the MAAWS-A (USFOR-A Pub 1-06), the Roles and Responsibilities, Paying Agent section of the CERP MAAWS-A, and adhering to the guidelines provided by the Finance Office.

Reference the Center for Army Lessons Learned (CALL) 09-16, Field Ordering Office and Paying Agent Handbook, dated Jul2009 and the *DoDFMR Volume 5, Chapter 2, Section 020604* and *Volume 5, Chapter 3.* The local Finance Office and the local Civil Affairs Team (S9) will provide training to all appointed PA's before funding can be withdrawn.

B. CERP PAs must have all required training and appointment documents before they are authorized to withdraw funds. They must track all payments made, provide enough details and exchange rate on all SF44's to validate who, what, when, where, and why the purchased was made, how many benefited, how many were employed and total paid. PA's must process through the local RM office with complete closure packages; receive a RM release memo, before proceeding to the Finance office to turn in funds/receipts (see p.134, Para. D)

C. Loss of Funds must be reported to the Finance Office and Resource Management Office for coordination with DFAS on proper procedures to open an investigation, receive written recommendation on relief, and close out procedures. Reference *DoDFMR Volume 5, Chapter 6, Section 0602, 0604*.

RESOURCE MANAGEMENT OFFICE PROJECT FILE REQUIREMENTS

RM Offices must ensure proper documentation is maintained for all funded CERP projects. The items listed in Paragraphs A-C below are mandatory and are considered auditable. RM Offices are required to keep an official file plan (*in accordance with USCENTCOM and DoDFMR records maintenance guidance*) that identifies where the files are located in the case of an audit. Electronic files are an acceptable alternative to hard-copy files, but the location of these files must be annotated on the file plan. **NOTE**: CERP projects closed out prior to the publication of this SOP will be grandfathered under the previous RM documentation requirements. RM Offices must maintain the documentation outlined in this SOP for all open CERP projects or projects closed after its publication date.

A. Prior to certifying funds availability and committing funds in the accounting system RM's must have applicable fiscal law training and delegation authority documentation; reference *DoDFMR Volume 5, Chapter 33, Section 3304*. RM Offices must have the following documents on file for the approved project before certifying funds:

1. Completed/signed *Initial* CIDNE Afghan Development Report (ADR) *(Reference Chapter 4)* (**NOTE**: The project status on the ADR should state "Nominated.")

2. A funding document (DA Form 3953 (PR&C), DD Form 1149, or DD Form 448) with the approval blocks signed by the appropriate approval authority.

3. Letter of Justification (LoJ) (for projects greater than $50K, signed by the appropriate approval authority) *(Reference Annex B for templates)*

4. PA, PO, and Project Manager (PM) Appointment/Termination Records (DD Form 577s) (as applicable). NOTE: For projects (<$100K), the PO can act as the Project Manager (PM). Also, POs are not required for projects $500K or greater and PAs are not required for EFT payments.

5. Legal Review. For traditional projects less than $30K, the legal review can be documented by a judge advocate's signature on the ADR. For projects $30K or greater, the legal review must be documented in a formal memorandum. (Bulk funds do not require legal reviews before commitment of the PR&C, see p.133 C.4.)

6. Transfer of Authority memo (if applicable). If the funding document is signed by the previous PA, PO, and Project Manager (PM) then a Transfer of Authority memo is required citing the new PA, PO, PM.

7. Independent Government Cost Estimate (IGCE). Required for traditional projects over $25K. Validate that the total on the PR&C, ADR, and IGCE match.
8. Statement of Work (SOW). Required for projects that purchase a service or involve construction. Verify that requirements match the ADR, PR&C, and LOJ.

B. Prior to obligating CERP funds in the accounting system, RM Offices must have the following documents on file:

1. All items listed in Paragraph A above

2. Contract, SF44's, DD448-2 and/or other obligating documents--the obligating document for micro-grants is the approved micro-grant application. (See *Chapter 9 for a template*)

3. Sustainment Memorandum of Agreement. Required for projects $50K or greater that will incur recurring operating or sustainment costs. The responsible GIRoA Ministry must agree to the recurring sustainment and to budget an estimated cost. (*should match the Stability of Local Partner section in CIDNE)*

C. Prior to closing out CERP projects in the accounting system (ODS) (i.e. de-obligating remaining funds and ensuring no unliquidated obligations exist), RM Offices must have the following documents on file:

1. All items listed in Paragraph A and B above

2. A project clearance letter *(Reference Annex B)* signed by an O-5 level U.S. Commander (or above)

3. SF Form 1034(s) for each disbursement, copies of all SF Form 44(s), and an advance and return DD Form 1081, Signed Contract, DD250(s) for EFT's, SF30 (as applicable),

4. The final/completed CIDNE ADR signed by an O-5 level U.S. Commander (or above) (**NOTE**: The project status on the ADR should state "Completed" or "Terminated/Cancelled".)

5. Project Transfer/Closure Documents. Transfer of Authority Document (TOA) required for projects not completed prior to RIP/TOA.

6. A print-out of RMT and ODS reports showing a zero balance left in obligations and commitments certified by the RM Office with the following statement: *"CERP Project # (add 14-digit CIDNE number) has been cleared and properly recorded in the accounting system."*

7. **NOTE**: When projects are completed for less than the amount originally obligated, the PO must modify the contract decreasing the amount of the contract to match the actual cost of the project. RM Offices will use the contract modification (SF30) to de-obligate the remaining balance in obligations.

   a. RM Offices are only authorized to obligate/deobligate *current year* funding in the accounting system.

   b. All *prior year* deobligations must be coordinated via USFOR-A J8 for ARCENT processing with the following documentation:

      1. ODS Report for DRN
      2. SF30 (contract modification)

D. Other types of records may be maintained by the RM Offices. Additions to the above list are considered optional. For example, some RM Offices require CERP Program Managers to submit a copy of their CERP Checkbook prior to having additional CERP projects approved. These RM Offices ensure the CERP Checkbook is being properly maintained before approving any additional CERP projects. Other RM Offices require pictures of the recipients of condolence, battle damage, former detainee, or Afghan hero payments to be submitted with the SF Form 44s as proof of the transaction(s).

E. One year after the project has been completed and properly closed out in accordance with this SOP; the project nomination package, along with the complete project file, will be submitted to ARCENT for historical staging according to ARCENT policy. The files may be in electronic form or hard copy. If you have questions, please send NIPR correspondence to the ARCENT Afghanistan Desk Officer at (3A-USARCENT-ATL-G8-DESKAFGH) arcent.deskofficer.afghan@arcent.army.mil

F. Request for Additional Funds (RAF) Requirements

1. Current FY procedures are addressed in Contingency Situations, p.59

2. Prior FY RAFs must be coordinated via USFOR-J8 for ARCENT processing and must have the following documentation:

    a. Funding Document: Funds Increase Memo (FIM) with required signatures (Project Manager, Program Manager, Commander and ARCENT's signature block), accounting line, CIDNE number, funding requirement breakout (original PR&C amount, contract amount, increase amount, grand total), brief but detailed explanation/justification of increase requirement. (Original PR&C and/or MIPR amendment must accompany the FIM.)
    b. Legal Review: includes FY and appropriation required to fund increase (can also include in-scope determination)
    c. Contracting Office in-scope determination of funds increase
    d. Backup Documents: contract, contract modifications, PR&C's, project approval documents, any pertinent documentation for increase
    e. If prior year commitment document is not available, the unit would have to create a funding document with the applicable FY's document number and accounting line. This would be added to the unit's internal document control rosters (DCR).

CERP RESOURCE MANAGEMENT TURNOVER PROCEDURES

All resource managers, who are responsible for managing the CERP program, must ensure the turnover with their successors includes, at a minimum, the following topics:

A. Required system access for all programs necessary to manage CERP

B. A review of the *MAAWS-A, CERP MAAWS-A SOP, DoDFMR 7000.14-R Volume 12, Chapter 27, and DoD FMR, Volume 12, Chapter 27 Annex A*

C. A review of the CERP Checkbook procedures with hands-on training

D. A list of deadlines, daily/weekly/monthly suspense, and recurring reports

E. A list of CERP projects still open on the current year and prior year checkbooks and in CIDNE. This review must be a line-item by line-item review of the current status of each open project. The review should also include a review of unique situations and documents maintained in the RM Office with a list of missing project files annotated on an official memorandum.

F. A review of all outstanding NULOs (*negative unliquidated obligations*) and ULOs (*unliquidated obligations*)

G. A list of contact information for subordinate CERP Program Managers

H. A list of contact information for other key CERP POCs (ex: USFOR-A J8, unit level contacts, S9, CERP CIM's, etc.)

I. A hands-on orientation of CIDNE *(see Chapter 4 and CIDNE Training Guide)*

J. A memorandum signed by outgoing and incoming CERP Resource Managers' supervisors stating the turnover has been completed and the incoming CERP Resource Manager accepts responsibility for the program.

CERP Quarterly Report Process and Timeline

5 January 2012

- M+5 – USFOR-A completes data input for prior month's projects; e-mails ARCENT (cc ABO) that entry is complete
- M+5 through M+8 – ARCENT inputs RFIs into on-line CRRT (CERP Reviewing and Reporting Tool)
- M+8 – ABO notifies OSD(CMC), OSD(C), OSD(P), OSD(LA), Joint Staff, and CENTCOM that prior month's projects are available in CRRT for review with 10-day suspense for RFI submission (M+17)
- M+8 through M+18 – OSD, Joint Staff, CENTCOM, and ABO enter RFIs into CRRT
- M+20 – ABO e-mails all to announce close of RFI input

- Q+5 – USFOR-A completes data input for prior month's projects; submits *draft* Commander's Narrative to ARCENT, cc ABO
- Q+5 through Q+8 – ARCENT also inputs RFIs into CRRT and notifies ABO of any objections to quarterly financials
- Q+8 – ABO distributes *draft* narratives to CMC, OSD(C), OSD(P), OSD(LA), Joint Staff J8 and J5 Iraq/PACC, and CENTCOM J8 with 7-day suspense for review and comment (Q+15); announces start of review in CRRT for RFI input
- Q+8 through Q+15 – OSD, Joint Staff, CENTCOM, and ABO input comments/RFIs into CRRT and send comments on *draft* narratives to ABO
- Q+16 – RFI input complete; ABO consolidates comments for narrative and forwards to USFOR-A, cc CENTCOM & ARCENT
- Q+16 through Q+22 – USFOR-A ensures responses to RFIs are complete
- Q+22 – USFOR-A submits *signed* Commander's Narrative to ARCENT, cc CENTCOM and ABO
- Q+29 – ABO hosts meeting with OSD, Joint Staff, CENTCOM, ARCENT, and USFOR-A to discuss RFI responses
- Q+29 – CENTCOM forwards ABO their acceptance of the *signed* Commander's Narrative
- Q+34 – ABO prepares draft CERP report for Congress (letters, enclosures, and revised project listings) and forwards to OSD(C) and OSD(CMC) for final coordination; ABO holds report for up to 8 calendar days (Q+42) pending OSD response
- Q+42 – ABO routes CERP report through ABO leadership to ASA(FM&C) for approval/signature
- Q+45 – ABO submits signed CERP report to Congress

M = LAST DAY OF FIRST MONTH OF QUARTER AND LAST DAY OF SECOND MONTH OF QUARTER
Q = LAST DAY OF QUARTER (I.E., LAST DAY OF THIRD MONTH OF QUARTER)

ELEMENTS OF RESOURCE (EOR) FOR CERP

(Reference DFAS 37-100 for additional guidance on the use of the Elements of Resource)

Project Category	25** (see Note 1)	26**	31**	32**	42**
Agriculture	2540	26EB	31EA	3230	
Battle Damage Repair					4200
Civic Cleanup Activities	2540	26EB	31EA		
Civic Support Vehicles			31EA		
Condolence Payments					4200
Detainee Payments	258A				
Economic, Financial, and Management Improvements	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Education	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Electricity	2540	26EB	31EA	3230	
Food Production & Distribution	2540	26EB	31EA	3230	
Healthcare	2540	26ER, 26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Hero Payments					4200
Other Urgent Humanitarian or Reconstruction Projects	2540	26EB	31EA	3230	
Protective Measures	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Repair of Civic & Cultural Facilities	2540	26EB	31EA		
Rule of Law & Governance	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Temporary Contract Guards for Critical Infrastructure	2540				
Telecommunications	2540	26EB	31EL	3230	
Transportation	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	
Water & Sanitation	2540	26EB, 26ED, 26EN	31EA, 31EC, 31EF	3230	

Note: 2540 should be used for contracted labor to operate, maintain or repair buildings, land, structures, or utility systems (also see 3230).

CIDNE PROJECT DESCRIPTION TEMPLATES by CATEGORY

NOTES

**Please remember when entering in short descriptions DO NOT enter any grid coordinates, Unit/TF designations, person's names, FOB names, or payment amounts. Also please remember not to use and acronyms other than U.S. everything needs to be spelled out.

**Cash for Work should not be the main purpose for a CERP project. It is perfectly fine to hire local nationals to complete a project, but the description box needs to state what the project is and not only state "cash for work".

***If a project is under a "Bulk Fund" and processed in segments (not project splitting), please DO NOT list as "payment 1 of 3, 2 of 3, etc." Briefly describe what the project consist of for each SF44. (Ex: First step is tearing down a building, then removing waste and finally constructing a new building.)

****When entering the short project descriptions and Financial Tab descriptions, please limit to 2-3 sentences only. There are a maximum number of character positions available in CIDNE and the descriptions should be short, clear and concise for Congressional review.

****** Shuras: Payment for light refreshments for a Shura that was held to discuss _____, approximately _____ people attended. (Remember that anything over $10 per person is too much (unauthorized) to be paid for light refreshments. A lower rate may be imposed; pending DoDFMR updates.)

** Shuras should be listed in the category for the type of project it is supporting.

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20 CERP Category Description Examples:

Agriculture/Irrigation: Projects to increase agricultural production or cooperative Agricultural programs. This includes irrigation systems.
*Payment made for canal clearing to improve water flow and irrigation. The project will benefit approximately 4,000 local nationals and employ 30 civilians for 3 weeks

What was accomplished or to be worked, number of workers employed, and effect/benefit on area & people.

Battle Damage Repair: Projects to repair, or make payments for repairs, of property damage that results from U.S., coalition, or supporting military operations.
*Payment made to local national for damage to four windows and 2 doors as a result of a U.S./Coalition operation.

Put the number of items damaged or approximate number estimate and what was damaged.

Civic Clean-up Activities: Projects to cleanup public areas; area beautification.

* Payment made for the demolition of _____, damage during Coalition/US operations. This project will employ __ workers for s days. This will make space for 12 additional shops to benefit the _____ residents.

* Payment for the removal of trash and debris in _____village and surrounding area to improve the quality of life for approximately _____ local citizens. This project will employ __ workers for ___ weeks/months.

* Payment for the removal of trash and debris to improve _____ within _____ village and surrounding area. The project should benefit approximately _____ local citizens and employ __ local national workers for ___ weeks/months.

What was accomplished/purpose or what will be accomplished, number of workers employed, and effect/benefit on area & people.

Civic Support Vehicles: Projects to purchase or lease vehicles by public/government officials in support of civic and community activities.

Condolence Payments: Payments to individual civilians for the death or physical injury resulting from U.S., coalition, or supporting military operations.

* Payment made to local national for death/injuries of _____ that occurred as a result of a U.S./Coalition operation. (Son, daughter, father, etc) (If injury, what was the injury)

Economic, Financial, and Management Improvements: Projects to improve economic or financial security.

* Micro grant payment made to local national for _____ store.

*Payment made for refurbishment to local bazaar this activity will have the potential to help support the economic structure of _____ Village. The project should benefit approximately _____ local citizens and employ __ local national workers for ___ weeks/months.

* Payment for the refurbishment of _____ Village District Center. The project should benefit approximately _____ local citizens and employ __ local national workers for ___ weeks/months.

What was accomplished/purpose or what will be accomplished, number of workers employed, and effect/benefit on area & people.

Education: Projects to repair or reconstruct schools, or to purchase school supplies or equipment.

* Payment for the construction of Boys/Girls School, located in _____ (Village or District). The project should benefit approximately ____ school children ages ____. This facility should employ __ workers/teachers.

* Payment for the purchase of school supplies for _____ School(s). The program will benefit __ children ages __ to__ and supply them __ textbooks, __ pencils, __backpacks, etc. (Include what was purchased & how many)

* Payment for the purchase of (Furniture, # of desks, # of mats, etc…) for _____ School. The program will benefit __ children ages __ to__ and supply them __ textbooks, __ pencils, __backpacks, etc. (Include what was purchased & how many)

What is/was to be accomplished, what was purchased/supplied, number and age of children, and effect/benefit on area & people?

Electricity: Projects to repair, restore, or improve electrical production, distribution, and secondary distribution infrastructure. Cost analysis must be conducted so the village or district may collect revenues to ensure operation and maintenance of the system for long-term use.

* Payment for the purchase and installation of a Hydro-Electrical Power Plant for _____ Village. The project will benefit approximately 4,000 local national's homes, 500 business and 30 street lamps. This activity will employ approximately 30 civilians for 3 weeks.

* Payment for the purchase of _____ generators to provide electricity to _____ Village. The project will benefit approximately 67 local nationals for over 40 homes

What is/was to be accomplished, what was purchased/supplied, and effect/benefit on area & people?

Food Production & Distribution: Projects to increase food production or distribution processes for economic development.

Former Detainee Payments: Payments to individuals upon release from Coalition (Non-theater internment) detention facilities.

* Payment made to local national for _____ days of detainment in a coalition detainment facility.

Healthcare: Projects to repair, or improve infrastructure, equipment, medical supplies, immunizations, and training of individuals by trained and licensed professionals.

* Payment for the construction of a hospital/ healthcare facility in _____ Village. The project will benefit approximately 4,000 local nationals and employ 30 civilians for 3 weeks

* Payment for the purchase of _____ ambulances for _____ Hospital. The project will benefit approximately 4,000 local nationals within the _____ Village.

* Payment for the purchase of medical supplies (what was purchased & how many of each) for _____ Hospital in the _____ Village. This will benefit approximately 400 local nationals for the next 3 months.

* Payment for the purchase of healthcare specific furnishings (# of beds, # of mattresses, etc…) for _____ Hospital in the _____ Village. This will benefit approximately 400 local nationals for the next 3 months.

What is/was to be accomplished, what was purchased/supplied and effect/benefit on area & people?

Hero Payments: Payments made to the surviving spouses or next of kin of Police/ Military personnel who were killed as a result of U.S., coalition, or supporting military operations.

* Payment made to local national for death/injuries to an Afghan National Army Soldier/ Afghan National Policeman as the result of a U.S./Coalition operation. (Son, daughter, father, etc) (If injury, what was the injury)

Other Urgent Humanitarian or Reconstruction Projects: Projects that are not captured under any other category. This category should be used **only** when no other category is applicable.

* Payment for the purchase of _____, _____, and _____ (list items & number of items purchased) to provide immediate humanitarian assistance to (approximate number) local citizens in the _____ Village.

****Please state exactly what was purchased i.e. 50kg of flour, 50kg of rice, 50 blankets etc....

****Avoid putting the same thing on every line please try to make each payment independent from the others if possible.

Protective Measures: Projects to repair or improve protective measures to enhance the security of a critical infrastructure site.

* Payment for the purchase and installation of _____ lights to improve visibility and safety in _____ Village. The project will provide safety and security for approximately 4,000 local nationals and employ 30 civilians for 3 weeks

* Payment for the purchase and installation of fencing around (Governor's/ cultural facility) in the _____ Village. The project will provide safety and security for approximately __ employees and attendees. The activity will employ 30 workers for 3 weeks

* Payment for the purchase and placement of _____ barriers to provide additional security to _____ Village. The project will provide safety and security for approximately 4,000 local nationals and employ 30 civilians for 3 weeks
What was accomplished or to be worked, number of workers employed, and effect/benefit on area & people

Repair of Civic & Cultural Facilities: Projects to repair or restore civic or cultural buildings or facilities.

*Payment for the construction/repair of _____ Mosque located in the _____ Village. Work will consist of repairing broken windows, walls, door, etc. The project will benefit approximately 400 local nationals and employ 3 local nationals for 3 weeks

*Payment for the construction/repair of _____ Village civic or community center. The project will benefit approximately 400 local nationals and employ 3 local nationals for 3 weeks

What was accomplished or to be worked, number of workers employed, and effect/benefit on area & people (try to include what is being done)

Rule of Law & Governance: Projects to repair government buildings such as administrative offices, or court houses.

* Payment for repairs to _____. (Government building) Work will consist of repairing broken windows, walls, door, etc. damaged during insurgent attacks. The project will benefit approximately 400 local nationals and employ 3 local nationals for 3 weeks

* Payment for repairs made to _____ jail or temporary holding facility, damaged during US/Coalition operations or by normal wear and tear throughout the years. Work will consist of repairing broken windows, walls, door, etc. The project will benefit approximately 400 local nationals and employ 3 local nationals for 3 weeks

* Payment for the purchase of supplies (what was purchased and how many of each) for _____ courthouse or legal facility. These items will benefit approximately 40 employees in the _____ village.

What was accomplished or to be worked, number of workers employed, and effect/benefit on area & people (try to include what is being done)

Temporary Contract Guards for Critical Infrastructure:

* Payment for _____ temporary guards to provide security for _____ facility/bazaar/village. This will provide security for ____days/months during the construction of a _____. (Purpose/structure)

**** Temporary is 90 days or less

Telecommunications: Projects to repair or reconstruct telecommunications systems or infrastructures.

* Payment for repairs made to _____, damaged during US/Coalition operations or by normal wear and tear throughout the years. Work will consist of repairing broken windows, walls, door, etc. The project will benefit approximately 400 local nationals and employ 3 local nationals for 3 weeks

* Payment for the purchase of equipment (what was purchased and how many of each) _____ for local TV/Radio Station. These items will enhance 4 employees and reach over 4,000 local national in the surrounding villages of ____, _____ and _____.

What will be accomplished/ supplied or to be worked/ provided, number of workers employed, and effect/benefit on area & people (try to include what is being done)

TV stations (including equipment purchase, repair, and maintenance)
Radio stations (including equipment purchase, repair, and maintenance)
Governmental communications systems (telephones, two-way radios, repeaters, antennas)
Loudspeaker systems
Landline point to point connections to connect systems

Transportation: Projects to repair or restore transportation and operations.
Categories include roads, railways, airways, canals, pipelines, airports, railway stations, bus stations, and seaports.

* Payment for repair to _____ road damaged by_____(attacks, wear & tear, US/Coalition Operations, etc). Work will include _____(brief description of work required) The project will benefit approximately 4,000 local nationals in the villages' of_____, _____, ____and employ 30 civilians for 3 weeks

* Payment for repair to culvert in damaged by_____(attacks, wear & tear, US/Coalition Operations, etc). Work will include _____(brief description of work required) The project will benefit approximately 4,000 local nationals in the villages' of_____, _____, ____and employ 30 civilians for 3 weeks

* Payment for repairs to _____ Bridge damaged by_____(attacks, wear & tear, US/Coalition Operations, etc). Work will include _____(brief description of work required) The project will benefit approximately 4,000 local nationals in the villages' of_____ and employ 30 civilians for 3 weeks

***** Install erosion control to protect bridge _____ abutments and foundation. Includes tapering the walls, ground compaction, installing a support system under the bridge, and grading the current riverbed to slope towards the centerline of the river bed. The project will benefit approximately 4,000 local nationals in the villages' of_____ and employ 30 civilians for 3 weeks

What was accomplished or to be worked, number of workers employed, and effect/benefit on area & people

Water & Sanitation: Projects to repair or improve drinking water availability, to include purification and distribution.

* Payment for the purchase and installation of _____ water wells and materials to provide drinking water to _____ Village. This project will benefit approximately _____ people will adequate and safe drinking water.

* Payment for the construction of _____ Village Water treatment facility. This project will benefit approximately _____ people will adequate and safe drinking water. This will employ 30 civilians for 3 weeks

* Payment for the construction of a waste disposal site in _____ Village. This project will benefit approximately _____ people will sanitary means of water disposal. This will employ 30 civilians for 3 weeks

* Payment for the construction of a sewage treatment facility in _____ Village. This project will benefit approximately _____ people. This will employ 30 civilians for 3 weeks
* Payment for the construction of a retaining wall in _____ Village for flood prevention. This project will benefit approximately __ people, __ homes and __farms. This construction will employ 30 civilians for 3 weeks.

*Payment for the purchase of _____ dumpsters in _____ Village to improve quality of life in the village.

* Payment for the construction of _____public latrines in _____ village/cultural or civic center. . This project will benefit approximately _____ people. This will employ 30 civilians for 3 weeks

What was accomplished or to be worked, number of workers employed, and effect/benefit on area & people

CHAPTER 4: ADVANCE BULK FUNDS

1. OVERVIEW
2. ADVANCE BULK FUNDS WITHDRAWAL AUTHORITY
3. ADVANCE BULK FUNDS PROCESS
4. REPORTING
5. ADVANCE BULK FUNDS TEMPLATES

OVERVIEW

A. Advance Bulk Funds are utilized within the CERP to allow Commanders to have cash on the battlefield in order to expedite the execution of small-scale CERP projects. Advance Bulk Funds are lump sum withdrawals from the Finance Office to a Paying Agent that is appointed in writing and approved to carry CERP funds.

B. This method of CERP execution allows for Commanders, through their CERP executors, to make cash payments on specific types of projects to react quickly to time sensitive needs.

C. **Approved Uses:** Individual projects using bulk funds (excluding small business grants, condolence payments, battle damage payments, and IDP payments) are limited to $5,000 per project, except in specific cases where the senior U.S. commander in the Regional Command in Afghanistan may approve up to $10,000 for a project.

D. Advance Bulk Funds should be utilized by U.S. Commanders who have identified missions that require CERP funds to be on-hand during and throughout the mission.

APPROVED USES

A. **Condolence and Battle Damage Payments**: CERP is authorized to be used for payments to individuals in case of death, injury, or battle damage caused by U.S. or coalition military operations, not compensable under the Foreign Claims Act.

1. Condolence and Battle Damage Payment Definition: Damage to property or person caused by U.S., coalition, or supporting military organizations **during a specific operation**. For example, U.S. military personnel enter a village to perform a clearing operation. Upon arrival at the village, one vehicle in the convoy hits an individual on a bicycle. Since the unit was conducting a specific combat operation, Bulk Fund payment is authorized.

a. **Foreign Claims Act (FCA) Definition**: Damage to property or person caused by U.S. or coalition partners during **routine day-to-day business**, not otherwise associated with a specific combat operation. Claims are

payable for personal injury, death, personal property damage, or real property damage caused by military training, field exercises, maneuvers, or other activities distinctly military in nature. For example: A coalition convoy drives through a market area and one vehicle in the convoy hits an individual on a bicycle. The convoy was not performing a specific combat operation. This is a Foreign Claims Act incident and the individual (or family) should file a claim with the nearest U.S. legal office (or the convoy can make arrangements for the proper legal representatives to visit the family, so a claim can be made). (Refer to AR 27-20 for further explanation)

2. Condolence payments can be paid to express sympathy and to provide urgent humanitarian relief to individual Afghans and/or the Afghan people in general. Commanders must verify that a claim against the USG is not a viable option under the Foreign Claims Act prior to using CERP for condolence payments. Condolence payments are different from claims and are not an admission of fault by the USG. It is crucial to remember that when a Commander uses CERP funds, it is not an acknowledgement of any moral or legal responsibility for someone's death, injury, or damaged property. Condolence payments are symbolic gestures and are not paid to compensate someone for a loss. **NOTE**: CERP condolence payments are not Solatia payments and will not be referred to as such. Solatia payments are made for non-combatant civilian casualties, and come from unit OMA funds as an expression of sympathy and do not necessarily derive from legal responsibility. "An individual involved in an incident in which another is injured or killed or property is damaged may, in accordance with local custom, pay solatia to a victim, the victim's family or another person authorized by the victim (such as a tribal leader) without regard to liability" (DA PAM 27-162; 10-10). For information on Solatia payments, contact your supporting Staff Judge Advocate office.

3. Condolence/Battle Damage payments to individuals are authorized for death, injury, or damage that occurs during a U.S., coalition, or supporting military operation and is caused by a non-DoD U.S. federal agency employee, a contractor of any U.S. federal agency, or a member of a coalition force. For instances falling within this paragraph the military operation may be combat or non-combat.

4. Legal review is not required, however if there are any questions on the legality of the payment, the PPO/Project Manager (PM) should contact their SJA to get an informal legal opinion. If the payment is a claim, then a legal review is required. This legal review can also be done over the phone or email however, before the project is closed in CIDNE and the bulk funds draw is cleared with Finance, SJA must provide a legal review in a memo or by signing the ADR.

5. The payment thresholds are per person and/or per damaged property.

a. An **O-5 U.S. Commander** can approve **up to $2.5K per person or damaged property**. For example, two members of the same family are killed in a car accident when the car is destroyed by U.S. forces. The head of that household could receive a maximum of $7.5K ($2.5K for each death ($5K) and $2.5K for the damage to the vehicle).

b. An **O-6 U.S. Commander** (or CSTC-A Commander) can approve **up to $5K per person or damaged property**. For example, two members of the same family are killed in a car accident when the car is hit by U.S. forces. The head of that household could receive a maximum of $15K ($5K for each death ($10K) and $5K for the damage to the vehicle).

ADVANCE BULK FUNDS WITHDRAWAL AUTHORITY

A. The total withdrawal authority for Advance Bulk Funds is limited to **$50K per O-5 U.S. Commander and $200K per O-6 U.S. Commander.** In most cases, O-6 Commanders will not have Paying Agents drawing Advance Bulk Funds for execution under their authority; however O-6s have the authority to empower their U.S. O-5 Commanders by approving increases in their withdrawal authority based on their specific operational needs.

B. The above authority levels are mutually exclusive; meaning that the O-6's authority is not affected by the number of O-5 U.S. Commanders underneath the O-6. For example, if a U.S. O-6 Brigade Commander has five Battalions within the Brigade's command, then each of the U.S. O-5 Battalion Commanders are authorized by this guidance with $50K each in Advance Bulk Funds withdrawal authority and the U.S. O-6 Brigade Commander will still have his/her $200K in withdrawal authority.

C. In no case may a unit's Paying Agent have more funds than the unit Commander's authorized limit at any given time. The Commander, regardless of the number of Paying Agents, cannot exceed their authorized amount. For example, if an O-5 Commander has five Paying Agents and the Commander wants all of the Paying Agents to have equal amounts of CERP dollars on them, then each Paying Agent would only be authorized to draw $10K, totaling $50K.

D. O-5 U.S. Commanders can have their Advance Bulk Funds withdrawal authority increased by up to $50K with their U.S. O-6 Commander's approval, resulting in a maximum withdrawal authority of $100K. This authority can be approved as a one-time use or as a standing authority for no longer than 12 months.

E. The Chief of Staff of an O-8 commanded Headquarters (HQ) may approve up to $50K in additional Bulk Funds for O-5 U.S. Commanders to meet specific operational needs that have already had their bulk funds withdrawal authority increased by their commanding U.S. O-6. The resulting authority, if the Chief of Staff approves, would be $150K for an O-5 Commander. This authority can be

approved as a one-time use or as a standing authority for no longer than 12 months.

F. The senior U.S. Commander in each Regional Command (must be a General Officer) has the authority to approve requests from U.S. O-5 Commanders sent up through their U.S. O-6 Commander (and Chief of Staff if applicable) to increase their bulk fund withdrawal authority up to $300K. This authority can be approved as a one-time use or as a standing authority for no longer than 12 months.

G. If a Commanding General or his/her subordinate Commanders want to increase their Advance Bulk Funds authority levels more than what is described above, they need to put in an exception to policy letter to the USFOR-A J9 for approval. This exception to policy letter will address the specific Commander, his/her organization and why the authority increase is needed. The approval for these requests is the USFOR-A DCDR-S.

H. All Advance Bulk Funds authority increases that are approved must be kept on file by the respective Civil/Military Affairs section (S/J 9 organization).

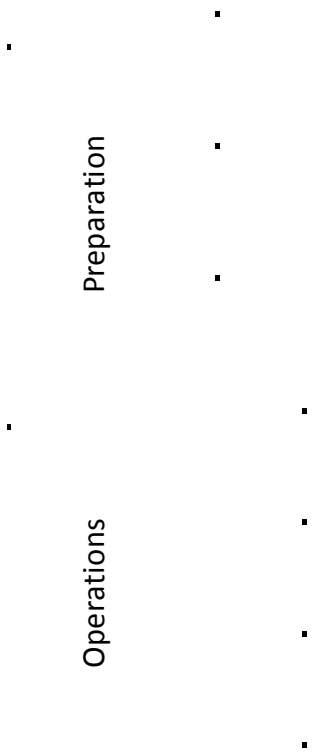
I. All Advance Bulk Funds authority increases can only be approved for a maximum of 12 months.

Table 4.1
U.S. O-5 Commander Advance Bulk Funds Withdrawal Authority/Approval Levels

Item	Max U.S. O-5 Commander Authority	Approval Authority
Advance Bulk Fund Draw	Up to $300K	Senior U.S. Cdr in RC (must be a G.O.)
Advance Bulk Fund Draw	Up to $150K	U.S. O-6 (or higher) CoS of O-8 U.S. Headquarters
Advance Bulk Fund Draw	Up to $100K	O-6 U.S. Cdr
Advance Bulk Fund Draw	Up to $50K	O-5 U.S. Cdr

ADVANCE BULK FUNDS PROCESS

Figure 4.1
Advance Bulk Funds Process Overview



A. **Identification and Development:**

1. The need for Advance Bulk Funds for CERP projects in a Commander's Area of Responsibility (AOR) is identified or anticipated.

2. The need for Bulk Funds is then communicated and assigned to a CERP Project Manager (PM) or Project Purchasing Officer (PPO) (*Bulk Funds can be assigned to either a Project Manager (PM) or a PPO because the projects will be less than $100K, so either CERP role can fulfill the requirement*). The Project Manager (PM)/PPO will then validate the requirement and create an Afghan Development Report (ADR) in CIDNE for the Bulk Funds draw. The Project Manager (PM)/PPO will input all relevant project information into the ADR. (*Reference Figure 4.5 for Bulk Funds ADR Template*).

3. Once the ADR is complete, export the ADR to Microsoft Word, and add the CERP Program Manager's signature block.

4. The Project Manager (PM)/PPO must create a Purchase, Request, and Commitment (PR&C) (DA Form 3953) document. The Project Manager (PM)/PPO will fill out the form with the relevant information, including the Project Manager (PM)'s/PPO's information in Blocks 27-30.

5. The Project Manager (PM)/PPO will ensure the ADR and PR&C are routed through the organization's CERP Program Manager to the Commander. The Commander can require these documents to be reviewed by his/her staff functionals, such as the Staff Judge Advocate (SJA), and any other staff functionals as required by the Commander. The CERP Program Manager will sign the ADR, which serves as the formal review and concurrence of the Bulk Funds draw. The CERP Program Manager will sign the PR&C in Blocks 31-33.

6. Reference Figure 4.2 for Advance Bulk Funds Checklists.

Table 4.2
Required Documents for Advance Bulk Funds Approval

Required Documents for Bulk Funds Approval	Notes
Afghan Development Report (ADR)	Signed by Program Manager with all required fields filled in
Funding Document (PR&C)	Signed by Project Manager, Program Manager, and Approving US CDR
Appointment, Authorization, & Training Letters/ Certificates	Program Manager will verify these documents are on file and current
Advance Bulk Funds Approval Checklist	Complete the checklist

B. **Approval**:

1. Once the Program Manager has signed the ADR and PR&C (and all other staff functionals review the documents as per the Commander's guidance), the Project Manager (PM)/PPO will ensure the package is routed for the approving Commander's signature.

2. The Commander must sign the PR&C (Blocks 34-36). The Commander's signature on the PR&C means the Commander has approved the Advance Bulk Funds draw. Once the PR&C is signed, the Project Manager will ensure

all signed documents are uploaded into the Media section of their CIDNE ADR.

3. If the amount of the bulk draw exceeds the withdrawal authority of the Commander, then the Commander can request a one-time bulk draw from his/her U.S. O-6 Commander for approval or request an increase in bulk draw authority from his/her U.S. O-6 Commander or higher (*reference section 3*).

C. **Execution and Payment**:

1. The Project Manager (PM)/PPO will notify the assigned CERP Paying Agent to bring the approval documents and Paying Agent (PA) Authorization (provided by the Finance Office) and PA Appointment Letter (DD 577 from the PA's Commander), then proceed to draw the authorized amount (annotated on the PR&C) of CERP Bulk Funds (**cash will be in Afghani**).

2. **Execution of Condolence, Battle Damage, IDP, small business grants & Commander's Small-Scale Projects**: The Project Manager (PM)/PPO must ensure the SF 44s for each transaction (or project) contain details of the transaction in terms of what type of payment (i.e. *Condolence, Battle Damage*), what type of operations happened, and/or any other relevant information (r*eference Figure 4.4*).

3. SF 44s will clearly define who, what, when, where, and why this transaction took place.

   a. Example: $100 paid to John Smith on 20 Nov 2010 in Village X, District Y, and Province Z for a lamb that was killed during US/Coalition operations.

4. All claims must be reviewed by a U.S. DoD attorney in order to determine whether CERP, Solatia, or Foreign Claims funds will be used for payment. All Commanders' Small-Scale Projects must also be reviewed by legal. This review can be conducted via phone or email. These legal reviews can be documented by annotating the phone conversation in the ADR (in the update section) or if completed via email, upload the email into the Media section of the CIDNE ADR.

5. The Project Manager (PM)/PPO should update the CIDNE ADR with all transactions and disbursements that are made in the field and what they were made for within 7 days. The description in CIDNE should elaborate what is annotated on the SF 44.

6. **Making cash payments:**

   a. The PPO will prepare the SF Form 44 (*as described above*) and contact the PA to arrange payment with the vendor. The PPO and PA will go together to make payment to the vendor.

b. The PPO will authorize payment on the SF Form 44. The PA will insert the dollar value of the goods or services and sign the SF Form 44 immediately after the certification statement: "I certify that this account is correct and proper for payment in the amount of…"

c. The vendor will sign the SF Form 44 and receive copy #2 (blue). The vendor should provide an invoice or receipt, either before or at the time of payment. Both the PPO and PA must be present. The PPO (or designated representative) will sign as the receiver on the SF Form 44. The PA cannot sign as the receiver, since he/she is the certifying official. The SF Form 44 becomes an accountable document to the PA and is required to clear the PA's DD Form 1081 from the Finance Office.

d. After the project has been completed, the PA will clear with the servicing Finance Office.

D. **Clearing with Finance and Project Closure**:

1. Upon the completion/payment of the projects (and no later than 90 days from the funds draw), the Paying Agent must notify the Project Manager (PM)/PPO and Resource Management (RM) Office that the projects are complete and need to be closed out with Finance or the Paying Agent needs to go to the Finance Office to reconcile with the Disbursing Agent and hand in the unused funds.

2. The PA must first go the RM office to obtain the modified STANFINS numbers for each project that was executed with the bulk funds.

3. The RM office will then provide the PA with a clearance memo, which the PA will present to the Finance Office informing them that the PA is ready to clear.

4. The Project Manager (PM)/PPO will ensure the CIDNE ADR has been fully updated and annotates all transactions that took place while the Advance Bulk Funds were out in the field.

5. The Project Manager (PM)/PPO will print out the ADR and add the Commander's signature block. **The Commander's signature is required on the finalized ADR** in order for the bulk draw to be closed out.

6. Clearing of all bulk funds accounts will be completed according to the servicing Finance Office's guidance. (*Reference the MAAWS-A for PA processes and procedures*). After the PA has cleared with the Finance Office and the payments are processed, the Finance Office will send the SF Form 1034(s), SF Form 44(s), and DD Form 1081(s) immediately to the RM Office. **NOTE**: The following is required for bulk funds to be considered cleared:

a. All cash and vendor receipts have been turned into the Finance office.

b. The Finance office has provided the RM office all SF Form 1034(s), SF 44(s), and DD Form 1081(s) totaling 100% of the bulk funds draw.

c. The remaining obligated balance in the ODS accounting system is $0.00. The PA must obtain a print-out of this and provide it to the PO or Project Manager (PM).

7. Once the PA has cleared with Finance, the CERP Project Manager can have the Paying Agent, re-draw Bulk Funds (*utilize the same process as above*).

8. The PA must provide all of the clearing documents to the Project Manager (PM)/PO so they can be loaded into the CIDNE ADR.

Table 4.3
Required Documents for Advance Bulk Funds Close-out

Required Documents for Bulk Funds Closure	Notes
Afghan Development Report (ADR)	Signed by Program Manager and approving U.S. CDR
Funding Document (PR&C)	Signed by Project Manager, Program Manager, and Approving US CDR
Legal Review	One signed by initiating US CDR & one for every other US CDR that approves the project
Payment Documents & Bill	Proper & complete SF 44s for each project/transaction. For CDR's Small-Scale projects, include the bill from the vendor
Bids & Price Quotes	These documents are recommended for Small Scale Projects
ODS Print-out	Obtain this print-out from the Resource Management (RM) office and ensure that it is signed by RM
Contract & Statement of Work (if applicable)	These documents are recommended for Small Scale Projects
Appointment, Authorization, & Training Letters/ Certificates	Program Manager will verify these documents are on file and current
Advance Bulk Funds Approval Checklist	Complete the checklist

REPORTING

Advance Bulk Funds projects will be included in the monthly project report submitted by each Regional Command to USFOR-A J9. (*Reference Chapter2 for more details on reporting).*

ADVANCE BULK FUNDS TEMPLATES

Figure 4.2
Advance Bulk Funds Approval Checklist

Advanced Bulk Funds Approval Checklist		
RC/TF: _____ UNIT: _____		AMOUNT ($): _____
CIDNE PROJECT #: _____		PROJECT MANAGER: _____
CIDNE PROJECT TITLE:		
The Project Manager is responsible for maintaining all project documentation and uploading it to CIDNE. Required documentation is indicated below and is required based on the details provided in each items description.		
1	Appointment, Authorization, & Training Letters/ Certificates	Program Manager will verify that all appointment, authorization, and training documents are current and on file. These documents do not need to be include in the project file, but they must be verified.
2	Funding Doc (PR&C)	For the PR&C, the Project Mgr will fill in blocks 27-30, the Program Mgr will fill in blocks 31-33, and the approving CDR will fill in blocks 34-36.
3	Initial Afghan Development Report (ADR)	This report serves as the project overview in CIDNE which is auditable and is the database of record for the CERP. All relevant fields must be populated. All transactions need to be annotated within the ADR (see CERP SOP Chapter 8 for more ADR details). To add signature blocks to the ADR; click "export to Microsoft Word," add in appropriate signature blocks, print out, get signed, & upload back into the ADR in the "Media" section. The Program Manager's and Approving Commander's signature blocks need to be added and both individuals need to sign the ADR in order for the bulk fund draw to be closed. Add the SJA signature block on the ADR if there were Commander's Small-Scale projects completed with this bulk draw and the SJA will sign and this will serve as the legal review. The final ADR must articulate if and how the project met its goals and achieved its desired effects. This will be documented in the "Project Closure" section of the ADR.
4.	Completed CERP Advance Bulk Funds Project Approval Checklist	

Figure 4.3
Advance Bulk Funds Closure Checklist

Advanced Bulk Funds Project Closure Checklist

RC/TF: _____ UNIT: _____ AMOUNT ($): _____
CIDNE PROJECT #: _____ PROJECT MANAGER: _____
CIDNE PROJECT TITLE: _____

The Project Manager is responsible for maintaining all project documentation and uploading it to CIDNE. Required documentation is indicated below and is required based on the details provided in each items description.

1	Appointment, Authorization, & Training Letters/ Certificates	Program Manager will verify that all appointment, authorization, and training documents are current and on file. These documents do not need to be included in the project file, but they must be verified.
2	Funding Doc (PR&C)	For the PR&C, the Project Mgr will fill in blocks 27-30, the Program Mgr will fill in blocks 31-33, and the approving CDR will fill in blocks 34-36.
3	Payment Documents & Bill	Include all payment documents to include DD 1081(s), SF Form 1034(s), and/or SF Form 44(s) and the bill from the vendor. A vendor bill or invoice only applies for Commander's Small-Scale Projects.
4	Bids and Price Quotes	The PM/PO will ensure that all bids and/or price quotes from local vendors are included in the project file and loaded into CIDNE. This only applies for Commander's Small-Scale Projects.
5	Contract & Statement of Work	These documents are not required but they are recommended for Commander's Small-Scale Projects. If they are completed for a Commander's Small-Scale Project(s), the PO/PM must include them in the project file.
6	ODS Print-out	RM Office endorsed ODS print-out. This print-out verifies that the the bulk draw is good to close-out financially.
7	Legal Review	Condolence, battle damage, former detainee, & Afghan hero payments do not require a legal review; however, even though a legal review is not required, a U.S. SJA must review all **claims** to determine that the proper fund is used for the claim (i.e. to determine whether the claim is a Foreign Claim or battle damage/condolence payment or Solatia). Include email from SJA or document the phone conversation and include in the project file. Commander's Small-Scale Projects must have SJA review the proposed project. This can be an email, documented phone conversation with the SJA, signed ADR, or legal review memo.
8	Final/Complete Afghan Development Report (ADR)	This report serves as the project overview in CIDNE which is auditable and is the database of record for the CERP. All relevant fields must be populated. All transactions need to be annotated within the ADR (see CERP SOP Chapter 8 for more ADR details). To add signature blocks to the ADR; click "export to Microsoft Word," add in appropriate signature blocks, print out, get signed, & upload back into the ADR in the "Media" section. The Program Manager's and Approving Commander's signature blocks need to be added and both individuals need to sign the ADR in order for the bulk fund draw to be closed. Add the SJA signature block on the ADR if there were Commander's Small-Scale projects completed with this bulk draw and the SJA will sign and this will serve as the legal review. The final ADR must articulate if and how the project met its goals and achieved its desired effects. This will be documented in the "Project Closure" section of the ADR.
9	This Completed Advance Bulk Funds Project Closure Checklist	

Figure 4.4
SF 44 Template/Example

Figure 4.5
Advance Bulk Funds ADR Example

CIDNE

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CERP Project Report

CLASSIFICATION:	UNCLASSIFIED
RELEASABILITY:	FOR OFFICIAL USE ONLY
PROJECT NUMBER:	Auto-Generated
PROJECT STATUS:	Nominated

PROJECT TITLE:
CERP Advance Bulk Funds Draw in support of UNIT operations

PROJECT DESCRIPTION:
UNIT is drawing $25K USD in order to support with Commander's small-scale projects, battle damage, condolence, Afghan hero, and former detainee payments.

PROJECT GOALS:
To mitigate the effects of military operations on the local population and enable the Commander of UNIT to respond to urgent humanitarian needs in his/her AO.

PROJECT CATEGORY:	Other Urgent Humanitarian or Reconstruction Projects
IS THIS A BULK FUND?	Yes
FUNDING FISCAL YEAR:	20XX
PROJECT MANAGER/COR:	Rank, Name (*this may be the same as the PO info*)
PO/CONTRACTING OFFICE:	Rank, Name
PAYING AGENT(IF APP):	Rank, Name
STANFINS DOC NO:	Not Reported
PROJECT COST >= $500,000?	No

Financial Information

PLANNED START:	Day Month 20XX	**PLANNED END:**	Day Month 20XX
UNIT MAKING PROPOSAL:	UNIT		
REGIONAL COMMAND:	RC-XXXX		
EST COST (USD):	10,000.00 (Enter $ amount)		

Bulk Fund Details (Info in this section will be updated after execution)

BULK FUND STANFINS/DRN:
Not Reported

BULK FUND PROJECT CATEGORY:
Not Reported

SHORT DESCRIPTION:
Not Reported

BULK FUND PROVINCE:	Not Reported
BULK FUND DISTRICT:	Not Reported
BULK FUND US $ SPENT:	
BULK FUND COMPLETION DATE:	

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Figure 4.5
Advance Bulk Funds ADR Example (Cont)

CIDNE

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Location Data			
MGRS:	42SWD1184312889	**LATITUDE (DMS):**	Self Populated
		LONGITUDE (DMS):	Self Populated
PROVINCE:	Self Populated	**MSC:**	RC-XX
DISTRICT:	Self Populated	**AO:**	Not Reported
CITY:	Self Populated		
DESCRIPTION:			
Not Reported			

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Figure 4.5
Advance Bulk Funds ADR Example (Cont)

CIDNE

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Additional Information

Problem Statement

HOW DOES THIS PROJECT SATISFY AN URGENT, CHRONIC, OR ACUTE HUMANITARIAN NEED:

This project is an Advance Bulk Funds draw. Advance Bulk Funds can be used for Commander's small-scale projects, battle damage, condolence, Afghan hero, and former detainee payments. These funds are to be used during an upcoming NAMED operation and will be applied in response to situations that require immediate relief to Local Nationals that experience unfortunate circumstances. All small projects that are conducted with these funds will address urgent, chronic, or acute humanitarian needs, not already addressed by the Afghan government or humanitarian assistance efforts being conducted by relief actors.

Immediate Benefit To The Local Population

HOW WILL THE UNIT BE ABLE TO MEASURE THE SUCCESS OF THE PROJECT:

This project is an Advance Bulk Funds draw and how these funds will be spent is not yet known. Funds will be used to provide direct relief in response to satisfy an urgent, chronic, or an acute humanitarian need. Upon the conclusion of the operation or Paying Agent reconciliation, Commander's small-scale projects, battle damage, condolence, Afghan hero, and former detainee payments will be assessed in order to measure the effectiveness of the funds on the local population. The unit will conduct regular shuras with village elders, conduct interviews, and observe local atmospherics to determine whether or not the funds applied had positive effects on the population, in accordance with COIN objectives.

Sustainability Of The Project

HOW DO WE PLAN TO MAKE IT LAST:

Other

EXPLAIN WHICH MINISTRY, ORGANIZATION, LEADERS, OR OTHER GROUPS WILL BE SUSTAINING THIS PROJECT:

Depending on where these Advance Bulk Funds are used and how they are used will determine who will sustain the projects. Most likely, the local population will provide sustainment if it is even necessary.

Stability Of Local Partner

HAS THE PROJECT PROPOSAL BEEN COORDINATED WITH:

POINT OF CONTACT:

GIROA

POC	Not Reported
EMAIL	Not Reported
PHONE	Not Reported

PRT

POC	Not Reported
EMAIL	Not Reported
PHONE	Not Reported

PDP No

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Figure 4.5
Advance Bulk Funds ADR Example (Cont)

CIDNE

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POC	Not Reported
EMAIL	Not Reported
PHONE	Not Reported
OTHER AGENCIES IN AOR	
POC	Not Reported
EMAIL	Not Reported
PHONE	Not Reported
LOCAL POPULATION	
POC	Not Reported
EMAIL	Not Reported
PHONE	Not Reported

WHO WILL THE PROJECT BE TRANSFERRED TO IN THE AFGHAN GOVT:
Not Reported

HAVE THE LOCAL LEADERS OR PROVINCIAL MINISTERS IDENTIFIED THIS AS A PRIORITY:	No

Number Of Local Population Engaged In The Project

HOW MANY LNS ARE INVOLVED IN THE EXECUTION OF THE PROJECT? NUMBER OF PEOPLE EMPLOYED:	0-50

Number Of Locals Benefiting

ESTIMATED NUMBER OF LOCALS WHO WILL BENEFIT FROM THIS PROJECT:	50 (Enter in an estimate)

WHAT ARE THESE PRIMARY AND SECONDARY BENEFITS:
Not Reported

Executability Of The Project

HOW LONG WILL THIS PROJECT TAKE TO COMPLETE:	<1 Month
ARE THERE ANY RESTRICTIONS TO THE TIME-FRAME FOR BUILDING OR EXECUTION:	Yes
WILL WEATHER EXPECTED TO BE A FACTOR:	No
IS SECURITY EXPECTED TO BE A FACTOR:	Yes
WILL THERE BE ANY CHANCE OF THE CONTRACTOR NEEDING EXTRA SERVICES TO COMPLETE ON TIME:	No

IF YES WHAT ARE THEY:
Advance Bulk Funds may be executed in areas that are not secure. Most uses for Advance Bulk Funds are related to urgent needs and need to be executed quickly.

Relations To Other Similar Efforts

HOW DOES THIS FIT IN TO THE OVERALL PLAN FOR THE PRT IN THIS SECTOR:
Will meet urgent needs in community

EXPLAIN RESPONSE ABOVE, OR PROVIDE ADDITIONAL RELATIONSHIPS TO SIMILAR EFFORTS:
Not Reported

CERP ADR Prohibited Uses

BENEFIT THE US, COALITION, OR OTHER SUPPORTING PERSONNEL DIRECTLY OR INDIRECTLY?

PROVIDE GOODS, SERVICES, OR FUNDS TO NATIONAL ARMIES,

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Figure 4.5
Advance Bulk Funds ADR Example (Cont)

NATIONAL GUARD FORCES, BORDER SECURITY FORCES, CIVIL DEFENSE FORCES, INFRASTRUCTURE PROTECTION FORCES, HIGHWAY PATROL UNITS, POLICE, SPECIAL POLICE, INTELLIGENCE, OR OTHER SECURITY FORCES?

QUALIFY AS A WEAPONS BUY BACK PROJECT (EXCEPT AS AUTHORIZED BY LAW AND SEPARATE IMPLEMENTING GUIDANCE, WEAPONS BUY BACK PROGRAMS, OR OTHER PURCHASES OF FIREARMS OR AMMUNITION)?

PROVIDE ENTERTAINMENT?

PROVIDE A REWARD PROGRAM?

PURCHASE FIREARMS, AMMUNITION, OR FUND THE REMOVAL OF UNEXPLODED ORDINANCES?

DUPLICATE SERVICES AVAILABLE THROUGH MUNICIPAL GOVERNMENTS?

PROVIDE SALARIES, BONUSES, OR PENSIONS OF HOST NATION MILITARY OR CIVILIAN GOVERNMENT PERSONNEL?

TRAIN, EQUIP, OR PROVIDE OPERATING COSTS OF HOST NATION SECURITY FORCES?

CONDUCT PSYCHOLOGICAL OPERATIONS, INFORMATION OPERATIONS, OR OTHER US, COALITION, OR HOST NATION SECURITY FORCE OPERATIONS?

SUPPORT INDIVIDUAL OR PRIVATE BUSINESS?

CO-MINGLE CERP AND OTHER FUNDS?

DOES THE PROJECT CONTAIN ANY OF THE ABOVE? No

***** IF YES, THE PROJECT DOES NOT QUALIFY FOR ADR FUNDING. *****

Completed/Terminated

PROJECT COMPLETION DATE:
LAST PAYMENT DATE:
ACTUAL CONTRACT JOBS CREATED: **ACTUAL PERMANENT JOBS:**
ACTUAL COMPLETION %:
ADDITIONAL EXPLANATION FOR CLOSURE/TERMINATION:
Not Reported
PROJECT RESULTS:
Not Reported

Figure 4.5
Advance Bulk Funds ADR Example (Cont)

APPROVAL SIGNATURE BLOCKS	
DATE:	DATE:
I HAVE REVIEWED ALL SUPPORTING DOCUMENTATION. IT IS ACCURATE AND COMPLETE AND IN ACCORDANCE WITH ALL GOVERNING REGULATIONS, GUIDANCE, AND POLICIES.	I APPROVE THIS PROJECT.
SIGNATURE BLOCK:	SIGNATURE BLOCK:
REINTEGRATION PROGRAM MANAGER	(O-5 LEVEL U.S. COMMANDER (OR ABOVE)
OFFICE/UNIT:	OFFICE/UNIT:

APPROVAL SIGNATURE BLOCKS	
DATE:	DATE:
THIS PROJECT IS IN ACCORDANCE WITH DOD FMR 7000.14-R, VOLUME 12, CHAPTER 27, AND ALL GOVERNING REGULATIONS, GUIDANCE, AND POLICIES. I HAVE NO LEGAL OBJECTION.	ALL DOCUMENTATION IS ACCURATE AND COMPLETE. FUNDS ARE AVAILABLE FOR THE CORRECT FISCAL YEAR.
SIGNATURE BLOCK:	SIGNATURE BLOCK:
JUDGE ADVOCATE	(RM OFFICE)
OFFICE/UNIT:	OFFICE/UNIT:

Figure 4.5
Advance Bulk Funds ADR Example (Cont)

CLOSURE SIGNATURE BLOCKS	
DATE:	DATE:
I HAVE REVIEWED ALL SUPPORTING DOCUMENTATION. IT IS ACCURATE AND COMPLETE AND IN ACCORDANCE WITH ALL GOVERNING REGULATIONS, GUIDANCE, AND POLICIES.	I APPROVE THIS PROJECT FOR CLOSURE.
SIGNATURE BLOCK:	SIGNATURE BLOCK:
REINTEGRATION PROJECT MANAGER	(O-5 LEVEL U.S. COMMANDER (OR ABOVE)
OFFICE/UNIT:	OFFICE/UNIT:

CLOSURE SIGNATURE BLOCKS
DATE:
ALL DOCUMENTATION IS ACCURATE AND COMPLETE. FUNDS HAVE BEEN FULLY DISBURSED AND/OR THIS PRJECT HAS BEEN CLEARED AND PROPERLY RECORDED IN THE ACCOUNTING SYSTEM.
SIGNATURE BLOCK:
(RM OFFICE)
OFFICE/UNIT:

CHAPTER 5: GOVERNMENT AND SMALL BUSINESS CAPACITY BUILDING

1. PURPOSE
2. REFERENCES
3. CONCEPT OF OPERATIONS
4. PROCEDURES
5. APPROVAL THRESHOLDS
6. EXECUTION
7. LEGAL CONSTRAINTS AND REQUIREMENTS
8. SMALL BUSINESS GRANT APPLICATION

PURPOSE

A. To provide basic guidelines and specify common procedures and restrictions to be followed by units in using CERP to fund small business grants to support small and micro-business activities.

REFERENCES

A. DoD FMR 7000.14-R, Volume 12, Chapter 27, January 2009

B. USARCENT ADCON ORDER (OPORD 04-005), Appendix 6 (Resource Management and Finance Operations to Annex H (Administering)

C. USARCENT Publication 1-06 (Army Financial Management Operations in the CENTCOM AOR, 16 May 2007

CONCEPT OF OPERATIONS

A. The small business grant program expands the flexibility of CERP and authorizes Commanders to provide cash, equipment, tools, or other material support (*in-kind contributions preferred*) to small businesses lacking available credit or financial resources. Small business grants must be used with strict disciplinary measures in place to ensure the economic development objectives of the command are being advanced. The intent of the program is to increase economic activity, particularly in areas where small businesses have suffered because of insurgent or sectarian violence.

B. The purpose of this program (*subject to the restrictions and implementation requirements*) is to use CERP funds to provide financial assistance to disadvantaged entrepreneurs engaged in small and micro-business activities that provide humanitarian relief and/or can support humanitarian assistance operations and reconstruction. For purposes of this program, a disadvantaged entrepreneur is one lacking independent wealth or otherwise unable to access sufficient business credit at commercially reasonable terms.

C. Assistance provided is intended to allow disadvantaged individuals to grow existing businesses or re-establish disrupted enterprises which will create lasting economic activity in a community. Support to individuals without prior business experience may be considered on a case-by-case basis, particularly with respect to recent college, university, or professional graduates who desire to start a business. **NOTE**: Only applicants with strong business concepts should be considered for grants in this latter category.

D. Grants provided should be made based on standardized selection criteria and processes in accordance with the guidance set forth in this SOP. Resources provided will not be repaid or returned to USFOR-A. In-kind deliveries of equipment, tools, and other material support, when practical, are preferred over cash payments. In-kind distributions help to ensure that grants will be used for intended purposes and limit the ability of criminal elements and other corrupt individuals from profiting off a grant. In certain circumstances, however, one or more cash payments to be used for working capital may be provided to a grant recipient.

E. Within the guidelines and restrictions specified in this SOP, Commanders are encouraged to be creative and adapt the small business grant program to local conditions in order to achieve the best local results. The application guidance set forth below provides general criteria to be used in evaluating grant requests. Ultimately, however, the judgment of individual Commanders based on local circumstances will determine the relative merit of each grant request. The objective is to make high-quality grants that will have a meaningful impact in a community, not merely to make a large number of grants.

F. Grant making activities should be focused in areas underserved by other micro-credit and assistance programs.

   1. In areas where micro-lending programs are available, applicants may propose to combine program resources in order to leverage capabilities. However, under no circumstance, shall grants be provided to repay existing micro-loans or other business support programs.

   2. If a micro-lending institution is present in a community, grants should be made to leverage the aggregate economic benefit of such activities. For example, an engine repair shop might receive a piece of equipment under the micro-grant program and a loan from a micro-finance institution to use as working capital to hire one or more new employees to operate that machine.

G. Commanders are encouraged to use the micro-grant program in conjunction with other CERP projects and other Coalition Forces (CF), USG, and GIRoA economic development initiatives. For example, it may be appropriate, in certain circumstances, to require a grant applicant to employ vocational education graduates or students as a condition for receipt of a grant.

H. Commanders shall maximize the use of Afghan partners to solicit applicants to the extent practical. Potential local partners include Provincial Development Committees (PDCs), Community Development Councils (CDCs), Non-Governmental Organizations (NGOs), tribal leadership, college and university officials, agricultural cooperatives, business development centers, and any other formal or informal entity supportive of GIRoA efforts with sufficient outreach in their community. Final selection of grant recipients, however, will remain with the USG and USG payment rules shall apply. Regardless of the source of the applicant and recommendations for approval, only those applications proposing viable business ideas should be approved.

PROCEDURES

A. Units will develop SOPs for grant solicitation, approval, implementation, and progress monitoring, including a written application to be completed for each grant application *(see Section 8 for a sample application).* Procedures will incorporate the guidance and restrictions contained in this SOP.

B. Grants will be awarded based on applications submitted by potential grantees. As the target grantees are experienced, but not large entrepreneurs, application procedures should be kept as simple as practical. Formal business plans or financial projections should generally not be required.

C. The application and selection process shall be made clear to all applicants. For every applicant selected, there may be numerous disappointed non-selected applicants. By publicizing the objective criteria upon which the selection was made, it may lessen the perception that the process was pre-determined or otherwise unfair. Commanders retain full discretion, however, to deny grants to any party not deemed an appropriate recipient, for whatever reason.

D. Applications will be evaluated on the basis of the following criteria:

1. The applicant has the necessary knowledge, skills, and experience required to undertake the proposed activity.

2. The applicant has an understanding of the market for his/her proposed activity, to include where the product or service will be sold, for what cost, and the current level of competition.

3. The resources required for the proposed activity are available to the applicant and realistic to the business concept.

E. The applicant's proposed plan should state:

1. How the assistance provided will be used.

2. How he/she will manage the activity, including the use and maintenance of resources.

3. If the applicant has alternative resources.

4. How the business will re-invest incomes derived from the grant back into the business.

F. Assess if:

1. The applicant's business has been negatively impacted by military operations or extremist violence.

2. The applicant has character references from trusted sources in the community.

3. There will be measurable increases in production, trade, or business activity.

4. The proposed activity will have a positive impact on the community.

5. The proposed activity will create additional jobs for the local populace and if so, how many.

6. The applicant is willing to contribute resources to the proposed activity, including in-kind contributions and "sweat equity".

G. Customary background checks similar to those conducted on other Afghanistan nationals who are recipients of U.S. funds will be conducted on all approved applicants prior to disbursement of grant proceeds. Consult your local Force Protection or Task Force Biometrics Office for more information.

H. Once a grant is distributed, the progress of the supported enterprise will be monitored to ensure the grant funds have been fully expended on the approved initiative. The intent is to assess the effectiveness of the grant, not to provide mentoring or other support for the enterprise. The effectiveness of prior grants should be used as a guide in subsequent grant making activities.

APPROVAL THRESHOLDS

Table 5.1
Small Business Grant Approval Thresholds

Item	Limit	Approval Authority	Legal Review Required
Micro-grant approval	Greater than $30K	USFOR-A CDR	Yes
Micro-grant approval	Up to $30K	Regional Command CDR CSTC-A CDR CFSOCC-A CDR	Yes
Micro-grant approval	Up to $20K	O-6 U.S. CDR	Yes
Micro-grant approval	Up to $10K	O-5 U.S. CDR	Yes

EXECUTION

A. After completion of the small business grant application(s), the unit is authorized to process one DA Form 3953 (PR&C) per small business grant project or to draw cash for payment for multiple small business grants at various locations. Utilize the Bulk Fund Draw process and thresholds explained in Chapter 8.

   1. In the description block of the DA Form 3953 (PR&C), the unit must list the applicable small business grants being funded, their respective CIDNE project numbers, and the amount allotted per grant.

   2. A copy of the certified DA Form 3953 (PR&C) will be included in each approved grant's project file.

   3. The approved small business grant application(s) will serve as the obligating document(s) for the RM Office.

B. Each individual small business grants must be entered into CIDNE and the CERP Checkbook separately under the appropriate CERP category. *(See Annex A for a list of CERP categories).*

LEGAL CONSTRAINTS AND REQUIREMENTS

A. While an expected collateral benefit of the small business grant program is increased employment opportunities at small businesses, the program may not be used as a general purpose job creation program.

B. Small business grants are prohibited to enterprises in the following lines of business:

1. Entertainment

2. Equipping or training the ANSF

3. Services duplicative of those provided by the GIRoA

4. PSYOP or IO activities

5. Weapons sales or service

C. Small business grants may not be used to obtain goods or services directly for U.S., coalition, or other supporting military forces.

D. The business activities supported can have a relationship to reconstruction or humanitarian assistance activities, but it is not required. Questions regarding whether a proposed grant is sufficiently related to these efforts should be directed to the local legal office or CERP Program Manager. Example activities which have a sufficient connection to reconstruction and humanitarian assistance activities include:

1. Construction

2. Equipment and electronic repair

3. Agribusiness, including production, processing, and distribution

4. Textiles, including production and alterations

5. Educational services, which are not duplicative of available GIRoA services

6. Reconstruction material supply

7. Heavy equipment

8. Transportation

9. Conflict resolution and mediation services

10. Legal services related to furthering Rule of Law

11. Medical services, which are not duplicative of available GIRoA services

E. All units will maintain records and provide financial reports in CIDNE. Commanders must maintain documentation that records the amount and character of each grant (*for example, a list of the equipment provided and its cost*) and the Commander's determination that the grant met the requirements set forth in this SOP.

SMALL BUSINESS GRANT APPLICATION

SMALL BUSINESS GRANT APPLICATION FORM			
Name of Requestor: (Last Name, First Name, MI)	Rank	Unit	
CIDNE PROJECT #	Name and Rank of Purchasing Officer		
Name of Applicant (Grantee)	**Total Value of Grant**		
	AFGHANI		U.S. (equivalent)

DESCRIPTION
1. Give a brief description of the proposed business:
2. What specific skill sets does the applicant have to support the proposed business?
3. In the applicant's words, how does he/she feel that they will compete with the current competition? *(Include location, price of good or service, brief description of competitors)*

DEFINE THE USE OF THE MICRO-GRANT	
4. Will the applicant be paid cash or in-kind distributions (preferred)? How will the applicant use the assistance provided?	
5. Are the resources adequate for the intended use (Yes/No)?	
6. How will the applicant manage the activity? *(Include the use of maintenance and resources)*	

DEFINE THE NEED & CHARACTER OF THE APPLICANT
7. What access to alternate resources (besides a CERP Micro-Grant) does the applicant have?
8. To what extent has the applicant's business been negatively impacted by military operations or extremist violence?
9. List 2 character references from trusted sources within the community.

Name of Reference	Title	Remarks
1)		
[redacted]		
2)		
[redacted]		

10. How will the applicant invest profits back into the business?

11. How will the applicant measure success in regards to an increase in production, trade, or business activity?

12. What is the expected impact of the proposed business on the community?

13. How many jobs will be created from the proposed business?	

14. What is the applicant contributing to the proposed business?

Approval Authority	Purchasing Officer Recommendation			
up to $10,000 is O-5 level U.S. Commander	APPROVE		DISAPPROVE	
up to $20,000 is O-6 level U.S. Commander				
up to $30,000 is RC CDR,CSTC-A CDR,CFSOCC CDR	Signature			
>$30,000 USFOR-A Commander				

COMPANY COMMANDER					
Signature Block	Recommendation	APPROVE		DISAPPROVE	
	Remarks:				
Signature					

BATTALION COMMANDER					
Signature Block	Recommendation	APPROVE		DISAPPROVE	
	Remarks:				
Signature					

BRIGADE COMMANDER					
	Recommendation or	APPROVE		DISAPPROVE	
Signature Block	Approval	APPROVED		DISAPPROVED	
	Remarks:				
Signature					

TASK FORCE COMMANDER					
	Recommendation or	APPROVE		DISAPPROVE	
Signature Block	Approval	APPROVED		DISAPPROVED	
	Remarks:				
Signature					

FOLLOW-UP				
Follow-up #1	Date		Inspector Name & Rank	
Findings:				
Follow-up #2	Date		Inspector Name & Rank	
Findings:				
Follow-up #3	Date		Inspector Name & Rank	
Findings:				
Follow-up #4	Date		Inspector Name & Rank	
Findings:				
Follow-up #5	Date		Inspector Name & Rank	
Findings:				
Follow-up #6	Date		Inspector Name & Rank	
Findings:				
Follow-up #7	Date		Inspector Name & Rank	
Findings:				
Follow-up #8	Date		Inspector Name & Rank	
Findings:				
Follow-up #9	Date		Inspector Name & Rank	
Findings:				
Follow-up #10	Date		Inspector Name & Rank	
Findings:				

CHAPTER 6: CERP FOR COUNTERINSURGENCY (COIN) EFFECTS

1. OVERVIEW
2. SELECTING PROJECTS FOR COIN EFFECTS
3. EXECUTING PROJECTS FOR COIN EFFECTS
4. EVALUATING PROJECTS FOR COIN EFFECTS
5. CASE STUDY: PROJECTS FOR COIN EFFECTS

OVERVIEW

A. Counterinsurgency concepts, frameworks, and ideas ultimately find expression in activities involving investments of energy, time and resources. Projects are a primary means for executing governance since they incorporate decisions on the distribution of scarce resources, may involve negotiations on the nature of the social contract, and can create positive, interdependent relationships to allow the delivery of a service. Project management is the way to ensure these investments generate measurable returns. However, project management to COIN effects is not the same as project management to quality, timeline, scope or budget as there are different objectives with different means of judging whether the objectives are met. Project prioritization and selection must reinforce COIN objectives. The list of potential projects will always exceed the capacity to deliver. The major limiting factor will be the ability to execute and oversee projects rather than limited funding. The more technically challenging the project, the greater the need for direct presence to ensure quality. Less complex projects, by contrast, can reduce coalition forces direct presence while ensuring greater COIN effects.

B. Commander's Emergency Response Program (CERP) projects (and similar stabilization funds) are vehicles for achieving effects. The desired effects are currently not well defined, measurable or standardized across projects. An effect can be:

1. *Developmental,* seeking to change society, build institutional capacity or promote economic improvement that is sustainable;
2. *Humanitarian,* seeking to alleviate human suffering without conditions or impartiality;
3. *Force protection/hearts and minds,* seeking to create a positive impression of coalition forces/Afghan National Security Forces (ANSF) in an effort to lessen attacks; or
4. *Counterinsurgency*, seeking to address causes of instability through fostering positive, interdependent relationships between the Government of the Islamic Republic of Afghanistan (GIRoA) and key populations.

A single project may achieve several effects; however, for our purposes the primary effect must be counterinsurgency as defined above. Project selection criteria and tracking indicators must always explicitly link back to the desired effect.

C. Our reduced physical presence will make technically challenging projects less feasible as our ability to ensure quality will be greatly reduced. Projects must be limited to those that clearly advance our COIN objectives and do not require frequent expatriate visits to the project site. The project selection process should emphasize less complex projects that require observable contributions by the government and communities over more technically challenging projects. Complexity should be limited so quality assurance can be conducted remotely through well-defined data gathering systems that guide our agents.[1] Project management guidance must be supportive of and track COIN effects. Certain indicators are necessary for gauging effect not only after but also during project execution. Until COIN indicators become the primary means of managing and evaluating projects, our effects will prove difficult to demonstrate and our processes slow to adapt.

D. As we transition, our model of COIN must seek to reduce our substantial physical presence in turn changing the dynamics of negotiation, scope, quality assurance, ability to transfer, and in some cases sustain projects. The existing challenges of accessing project sites with sufficient frequency will become more pronounced as we reduce our forces.

E. Therefore, project selection is perhaps the most critical point in the project management process. Selection begins with determining the underlying conditions of instability and then developing an integrated plan to address these concerns. Therefore, we will have to negotiate our interests with a variety of actors including informal governing bodies and the government. There are numerous interests, patronage networks and hidden agendas that will remain unknown to us. This void in our knowledge becomes more pronounced the greater the complexity of the project. For example, a multimillion dollar road project contains numerous opportunities for sub-contracting, excessive costs, extortion and profits that can be diverted by hidden power relationships. Our ability to influence this dynamic while continuing to execute complex projects may be limited. Once a project is approved, it becomes increasingly difficult to adjust course even if the objectives are no longer advanced.[2]

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[1] Photographs tied to GPS readings may be sufficient due diligence for a community implemented project. More defined and deliberate data gathering can replace our lack of physical presence provided the projects are largely within the capacity of the community.

[2] Projects become more difficult to cancel once approved and started. There are often delays between contract award and the identification of problems that creates a sunk costs scenario. Sunk costs become more pronounced especially if funds have been advanced (such as mobilization costs) prior to any observable deficiencies.

Great care must be taken in vetting projects against COIN objectives and the likelihood of success. Every newly approved project increases the management burden for due diligence. If project management capacity[3] remains fixed while the number of projects increases, COIN effects will suffer.

F. We must reduce our role and responsibility for project success or failure while increasing the interdependence between host government and population. This chapter is meant to help guide **project selection**, **management**, and **evaluation** Executing CERP must be considered a transitional process intended to limit distortions and prevent establishing precedent or expectation that cannot be reasonably met by alternative state mechanisms once a degree of stability is established. Once the threat to the existence of the state is removed, the emphasis on state legitimacy as the overriding objective becomes less required. Alternative implementation models can assume greater prominence in more secure areas and be the successor to COIN projects. This framework should become less necessary as on-budget processes are refined and service delivery becomes more predictable in secured areas.

SELECTING PROJECTS FOR COIN EFFECTS

A. Critical COIN Criteria: Once the mission analysis has identified the underlying conditions of instability, commanders must integrate all available tools, to include COIN projects, to influence change. A limited set of criteria guide COIN projects and include community involvement, host government value added and likelihood for success. These criteria are designed to generate incentive structures supportive of increased host government legitimacy by requiring positive, interdependent relationships with key populations. Criteria are a means of articulating our negotiating position to our partners (host government) and through them to their partners. These criteria should help limit the potential options for projects to only those that are likely to generate increased host government legitimacy. Requirements for community impacts and implementation serve to force simpler projects with fewer technical challenges. The less complex the project, the easier it is to reduce the number of stakeholders between the groups we are interested in connecting. Non-governmental organizations and construction companies may have their own interests that can serve to frustrate our COIN objectives if these organizations and companies are the primary interface with informal governing bodies.

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[3] Project management capacity reflects an organization's technical specialists, requirements for access and site visits by technical specialists, administrative and reporting requirements, and future project development requirements.

B. These criteria are mutually reinforcing. A community implemented project with required contributions is assumed to be valued by the community. If alignment with the government is required for the project to execute, the community will need to protect not only the project site but also the government representitives that bring the service. A project that is not valuable enough to justify contributions is similarly not valuable enough to risk affiliation with the government. This only works if the project is within the capacity of the host government and community to execute with minimal capcity augmentation.

C. When conceptualizing or reviewing potential COIN projects, the following criteria for project selection should be applied:

Criteria 1 – Host Government Value Added: The first criterion is the degree and nature of government contribution to the project. Attribution will be a function of government visibility and the believability of value added. GIRoA capacity and track record for performance is a challenge. Attribution of GIRoA delivering many of the services has been low and frequently attributed to the international community or ISAF. It is difficult to transfer positive relationships generated through non-governmental organizations and contractors if the GIRoA had no visible role in facilitating, scoping, ensuring quality or protecting. Trust is core to a positive interdependent relationship between the state and population. Trust building occurs only when both actors assume risk.

Criteria 2 – Clear community involvement: The project should have a clear impact on a population group and not just an individual or the host government. This criterion would exclude projects such as refurbishments of government facilities or digging a well for the exclusive use of a local elder. Having clear community impact increases the likelihood of community ownership and contribution as well as foster the image of state invested in the local population. Projects that primarily benefit the government, such as air-conditioning for government offices or vehicles, are unlikely to build linkages between the government and population. If government officials make their performance contingent upon assistance, limited support can be offered as an incentive following, but not before, observable performance improvements.

Community contribution helps identify the true priorities of the community. The greater the contribution, the greater the likely value of the project to the community. Contributions are those goods and services provided without compensation. In Afghanistan, there is a tradition of *ashar*[4] in which community labor is mobilized

[4] Kerr-Wilson, A. and Pain, A. (2003). *Three Villages in Alingar, Laghman: A Case Study of Rural Livelihoods*. Kabul, Afghanistan Research and Evaluation Unit.

without compensation when the activity is to the benefit of the community. Genuine *ashar*/contributions can be viewed as necessary for COIN projects to be effective.

The simpler the project, the more it can be used to directly influence the community. More complex projects tend to have additional stakeholders such as prime and sub-contractors that separate the principal (and our partners) from the target population. The only leverage a principal may have over a problematic community is to suspend or cancel a contracted project. The process to cancel can be difficult, may harm the contractor more than the community, and is not a very precise option. Simpler, community implemented projects remove outside stakeholders and levels of abstraction between the principal (our partners, our agents, and us) and the community. If a community abrogates a security agreement necessary for a community implemented project with community contributions, termination or suspension affects the community directly.

Criteria 3 – Likelihood for Success: Although few would wish to execute a project that is obviously flawed, more complex projects are by definition more likely to fail especially in a conflicted environment. Technical challenges aside, more complex projects require logistical inputs that are liable to be interdicted. Specialist human capital such as teachers, clinicians, engineers or agricultural experts can be threatened. Special tools and equipment can be destroyed and must be constantly guarded. Even good quality concrete can be difficult to find. Assuming the inputs reach the site, their application can be just as challenging. There are numerous examples of poorly mixed concrete, poorly reinforced structures, and failed road pavement. Complex projects tend to cross tribal and clan boundaries making it more difficult to satisfy all parties.

A realistic assessment of the likelihood of success is a key determinant for project approval. Projects with fewer inputs should be prioritized over more technically or logistically challenging alternatives. The optimal COIN project would require inputs available in the community or local bazaar.[5] A COIN project should comprise discrete, resource injections as opposed to projects that require sustainment to be effective.

A project that requires specialized labor to maintain, operating costs that exceed local revenue, or imported technology to function is not a COIN project. Although an empty school may encourage the community to seek out government support, it may conversely serve as a reminder of the government's inability to sustain and protect investments. The tenuous security environment should encourage a series of

[5] An advantage to simplifying projects to those that require locally available inputs is that a greater proportion of project funds are invested in the local economy.

discrete, community implemented projects that can be executed for precise COIN effects. So long as the community supports the host government and guarantees host government access and protection, small projects should be forthcoming. If a community turns against the government, allows insurgent activities either tacitly or willfully, or attempts to divert project funds, the community implemented project can be suspended or canceled as a means of influencing the community directly. This strategy is only effective when these terms are articulated and negotiated during the project selection phase and followed through during implementation.

EXECUTING PROJECTS FOR COIN EFFECTS

A. Our role in project management is to ensure the process leads toward our mission objectives in COIN effects. The value of making project details transparent increases if the community takes an active role in less complex project execution. Requiring the community to contribute may not necessarily ensure fairness but it does increase the probability that the community values the project and views the intervention as welcome. Although to leverage CERP the roles and responsibilities described within chapter two of this publication must still be followed, use caution in direct involvement. A balanced involvement is necessary to ensure direct involvement does not undercut the objective of host government attribution while meeting the policies within this publication.

B. Projects for COIN effects are often poorly defined in how the objective will be accomplished. COIN objectives in creating an interdependent relationship between the population and government are not easily measurable, while the inputs and physical product are fairly easy to observe. The actual implementation is less clear when outsourced to external parties, like contractors or NGOs. Therefore, the evidence of a physical output (such as a building or persons trained) becomes the primary indicator; however, this does not mean that an objective such as improved legitimacy has been addressed. The implementation of the project, or how the COIN effect is achieved, is in many ways more important to our objectives than the final product. While not the most effective COIN enablers, at times it will be necessary to outsource to a contractor. When this is the best alternative, it will be imperative that every effort is made to ensure that the source of instability is considered as the requirement is written.

C. Project management must look beyond production indicators such as timeline, scope/quality, and budget and focus on whether the project addresses the key source(s) of instability. Therefore, it is imperative that the contracting officer clearly understand the objectives to properly write the contract to target the source of

instability and avert a contracting vehicle that forces the focus on the end product. There are two information processes that are critical for managing to COIN effects: 1) monitoring and evaluation (M&E) and 2) quality assurance/quality control (QA/QC). Monitoring and evaluation objectively compares the project's implementation method and final result against the project objectives. This requires that objectives are well defined, measurable and tracked through a combination of qualitative and quantitative methods. Quality control (with regular quality assurance checks) is the system for ensuring a project's specifications are met. Quality assurance inspections will ensure that a structure is well built or training curriculums reflect the statement of work (SOW). Project management requires technical competences (QA/QC) but more importantly achievement of effects (M&E).

D. Phase 1 (Inputs): Phase 1 involves the project inputs. Project inputs include money, time, labor, and resources. Consider the inputs as the amount of funds that we dedicate to a project and the amount of effort (such as project scoping, design, and nomination) needed to invest. Phase 1 indicators, especially dollars spent, are the only indicators we currently track across projects. The dollar value may be a useful proxy for project complexity; however, these figures alone cannot tell us much about project impact or even the amount of funds invested in a local economy.[6] Therefore, inputs must be measured against COIN indicators and ISAF's local investment.

E. Phase 2 (Process): Phase 2 is the critical unknown in current project execution. Process includes all the means of implementation including negotiations with communities (and potentially insurgent/criminal groups), procurement of materials and services, and dispute resolution. Many of these functions have been **outsourced to agents who have the critical** role in determining whether a project will advance COIN objectives or not. The agent has differing interests from the principal (such as profit versus impact/effect or humanitarian support versus conditionality) with this divergence manifesting in the day-to-day operational decisions made by the agent. An agent may choose to pay insurgents in return for security, subcontract to a shell company owned by a government official as a form of corruption, or push shoddy or damaging work despite legitimate community concerns.

[6] In the case of a high dollar project, such as a road, skilled labor, specialized equipment and materials are often imported meaning only a small portion of the overall funds actually go into the local economy (local being very relative). The more complex a project, the more costly and the more difficult it is to track the flow of money. Bloated cost estimates create excess funds that allow for corruption and subcontracting of jobs to less qualified organizations.

Agents should execute the intent of the principal; however, this is not the case when the principal fails to clearly articulate objectives and ensure compliance.[7] Information, particularly monitoring of key indicators, is the primary way a principal can ensure an agent executes as expected. COIN indicators, however, are often difficult to define and more difficult to track. Insufficient information, emphasis on the wrong indicators, or lack of verification means that an agent operates autonomously of the principal and calls into question the achievement of COIN effects.

Quality assurance is not the same as monitoring achievement of COIN effects. Collecting and analyzing COIN indicators must be the primary concern of project management; otherwise, managers lack the relevant data on which to make informed decisions. COIN indicators can be tracked throughout the project execution as a form of project monitoring.

F. Phase 3 (Output and Outcome): Phase 3 consists of both outputs (things built, people trained, increased host government legitimacy) and outcomes/effects (improved service delivery, behavior change/support for host government). A COIN project has two sets of outputs and outcomes: one set focused on development results and the other focused on COIN objectives. Development results are beneficiary focused, such as improved quality of life. COIN results are effects focused, such as behavior changes by a given population from passive or active support of insurgents to active support of the government.

Outputs for COIN projects are not well built structures, trained farmers, or even an improved crop but an improved dynamic between counterinsurgent elements and the key informal governing structures. An indicator, such as host government access to populations, can be transactional rather than enduring. An enduring outcome would be continued relationships between the host government and population, even when there is not on-going service delivery.

EVALUATING PROJECTS FOR COIN EFFECTS

A. Critical COIN Indicators: Indicators offer a glimpse into the workings and results of our projects. Information will always be limited especially given the challenges of collecting in a conflicted environment. It is necessary to focus on the right data that help us manage projects to achieve intended objectives. We may not be privy to all the dynamics between the government and communities but we can make certain assumptions on the basis of observed data.

[7] COIN intent (such as improved legitimacy of the host government) is often not articulated in the governing documents, such as a project scope of work, or tracked through monitoring. Even when intent is included in a contract, the requirement is not sufficiently defined or verifiable.

B. COIN projects share objectives regardless of the specific type of project. A core set of common indicators linked to COIN objectives should be collected across projects. The first key COIN indicator is the degree of host government involvement/partnering in the project. Corruption and capacity issues complicate host government participation particularly if the project is costly and complex. If the intended effect of the program is an improved relationship between the government and informal governing structures, the government should be visibly involved in success or failure of the project. Ownership requires that the government assumes responsibility for the project, which will be a function of the capacity of the institution to participate and the implementation method. If attribution for the project remains with coalition forces or our agent, the fundamental objective of the project is void. Attribution is a function of actual, visible value added by the government and may include escorting and protecting our agents, providing technical capacity, presenting a platform of projects and negotiating with informal leadership.

C. The second key COIN indicator is community ownership. Ownership requires that the community be able to comprehend, participate, and contribute to projects. It is assumed that communities will only contribute to activities that they perceive of value. Community contribution is a proxy for the value the community attributes to the activity or project. If a community values the project, it is more likely that the relationships with the government will be more genuine.

D. Indicators 1 & 2 – *Host Government Participation*: If the objective of a project is improved legitimacy for the government, **government involvement should be the key COIN indicator. Attribution requires that the type and complexity** of the project be reasonably within the capacity of the government to add value. A road project, for example, may be too complex to attribute to the government regardless of ground-breaking ceremonies or other information campaigns. A simpler project, such as community-built infrastructure or training at a district center, can more clearly be attributed to the government by providing opportunities for government representatives to be involved in the project visibly and positively. Outside actors should not identify themselves as an entity separate from the government.[8] If a project receives visits only from coalition forces, the target population is not likely going to see their own government in a more favorable light. It is better to have less complex projects that clearly connect the government with the target population than more complex projects that by definition prevent a genuine role for GIRoA. Less complex community-built projects have an added benefit of making quality

[8] Non-governmental organizations are by definition not government and regularly restate this fact in order to operate in areas controlled or under the influence of insurgent forces. Using NGOs to implement projects may make sense from an access and technical capacity perspective; however, there is unlikely to be any legitimacy gain for the host government if the implementer regularly distances itself from the government.

assurance requirements less stringent and do not necessarily require expatriate physical inspections.[9] If the security environment prevents government representatives from accessing the community, then there is no to very limited value in executing high-risk projects with no government attribution.

Government participation can be tracked both quantitatively and qualitatively. The frequency of visits by government representatives to a project site *without coalition forces escort* is a quantitative measure indicative of certain dynamics. Presence at a project site does not necessarily mean government representatives are not engaging in other undesirable activities; however, it ensures that government representatives are assuming risk by going to the community unescorted. Regular presence can be assumed to mean that certain processes (such as security negotiations and community consent) are functioning. Further, negative behavior, like corruption, becomes a more dangerous proposition when the government representative has to make frequent community visits rather than remain in a district center or when he ventures out under the protection of coalition forces. A refusal by government officials to make unilateral visits can indicate a lack of government legitimacy, poor project design and process,[10] and/or attempts to exploit. Measurable indicators of processes that require negotiation and agreement are the best tools we have for measuring positive relationship development between population and government. These data points can be plotted on a map as a way to document government access and engagement with the population. With human terrain mapping overlaid on the assistance mapping, we can have a greater understanding of the relationships the government is or is not fostering with the community.

The supporting evidence for quantitative indicators is primarily qualitative in nature and includes narrative reports. CERP can be used to hire local technicians, agricultural or cultural advisors, to monitor projects as long as the project purchasing officer follows the procedures outlined within appendix D of this publication. Digital photographs recording project progress by our local-hires can tie government representatives to effective governance at the locale (as the project site can verified by photo's GPS tracking) and time (the photo's timestamp embedded in the image file). This would constitute the evidence behind the frequency of government visits. Further, by traveling with government security and civil representatives, our local-hire is able to observe and monitor on the interactions captured in the photographs. The CERP local-hire is clearly associated with the government by virtue of joint

[9] Photographs may be sufficient evidence of quality provided the structure is within the capacity of community to construct and the photographs are reviewed by a competent technical expert.

[10] GIRoA representatives may attempt to distance themselves from unpopular or failing projects if they have no responsibility for the project. Host government representatives may find it politically expedient to discredit the project of an outsider if the representative neither controls, contributes, nor has any responsibility for the project.

visits[11] and through both hard evidence such as photographs and soft evidence such as narratives, we attain greater situational awareness. The degree of confidence we have in our local-hire will be a reflection of the data quality and our own compliance standards.

Indicator 1: Degree of GIRoA relationship with the population	**Indicator 2:** Degree of GIRoA facilitation of trainings
Unit: Number of visits per project **Disaggregation:** A) Number of coalition forces site visits without host government officials; B) Number of host government official(s) site visits with coalition forces escort; C) Number of host government official(s) site visits without coalition forces escort	**Unit**: Number of trainees per training **Disaggregation**: A) Number trainees that attended training at a GIRoA facility (does not include a school but may include a GIRoA vocational center); B) Number trainees that attended training not at a GIRoA facility

Table 6.1 - Cross-Cutting Government Indicators

E. Indicators 3 & 4 – *Community Contributions*: An indicator related to government participation is the degree of **community involvement, ownership, and likely sustainment. Community involvement tells us whether the** beneficiaries see value in the project. The value of the project will be reflected not only in voluntary labor or materials provided by the beneficiaries but also the likelihood that the community will defend not only the project but also the project deliverers (a team consisting of the government and our agent). If a project is not important, the community may accept intimidation from insurgent/criminal forces without resistance. A form of community involvement can be observed in trainings at a district center.[12] For example, there are two potential agricultural training projects. One training option includes the training plus hospitality, funds for travel and lodging as well as a training package of tools and supplies. Another training option only covers the education and limited, low cost supplies purchased from the local bazaar. If both trainings have equal attendance, it is safe to assume that the second option was perceived as more valuable to the trainees since the trainees had to contribute. A quantitative indicator can be the ratio of trainings that involve payments, stipends or training kits to those with training kits alone (or those without any payments). Another variant of community involvement can be narrative, such as instances of resistance to insurgent forces attempting to frustrate a project or matching contributions by communities (we pay for half, they cover half). Effective community contributions require that cost estimates be based on market rates and complexity allows community participation.

Indicator 3: Value of project to community	**Indicator 4:** Value of trainings to trainees
Unit: Percentage of community contribution per project*	**Unit**: Number of trainees with contributions per training

[11] This admittedly raises the threat profile of the agent as the agent can no longer claim to be unaffiliated with a party to the conflict.
[12] Trainings carried out at the district center are another means of visibly connecting the host government to key populations. Trainings can be offered without conditions and may be open to persons from areas beyond the control of counterinsurgent forces.

Disaggregation: A) Community did not contribute; B) Community contributed 1-10% of project value; C) Community contributed 11-20% of project value; D) Community contributed 21-30% of project value; E) Community contributed 31-50% of project value; F) Community contributed 51-100% of project value; G) Community contributed 101+% of project value * Security provided by the community does not count toward contribution	**Disaggregation**: A) Training only, no kits, no stipends or other assistance to trainees; B) Training includes low value kits (no more than $30 per trainee), no stipends or assistance; C) Training includes high value kits (more than $31 per trainee), no stipends or assistance; D) Training does not include kits but does include stipends and other assistance including but not limited to food, travel reimbursement, or lodging E) Training includes kits and stipends and other assistance including but not limited to food, travel reimbursement, or lodging

Table 6.2 - Cross-Cutting Community Value Indicators

CASE STUDY: PROJECTS FOR COIN EFFECTS

Below is an example from Paktika province[13] that compares two forms of distortion with the left half covering CERP and USAID direct assistance to the provincial Directorate of Agriculture, Irrigation and Livestock (DAIL) and the right showing the CERP-funded agricultural training program that partnered contracted Afghan agricultural specialists with district government officials to conduct trainings and community implemented projects:

INVESTMENT	
• Construction/Material Support to DAIL ($355,943 + $95,000 not allotted by GIRoA) • Capacity building ($105,082 + $10,500 not allotted by GIRoA) • Material support for projects ($296,600 + $164,609 not allotted by GIRoA)	• 14 college-educated Afghan trainers ($188,520) • PRT/USDA, PRT/S5 oversight/management • PRT/USDA, ADT training of trainers • Community implemented projects (~$115,000) • Trainings at district centers ($360,000)
EFFECT	
Nothing observed (no trainings, no extension services) Demand by DAIL for additional resources	District governor/ANSF positive interaction with population Community contributions (30-50% on average)

NON SENSITIVE INFORMATION RELEASABLE TO THE PUBLIC

Despite nearly equal levels of assistance to both the provincial and district levels during a similar period of time, the support at the provincial level generated no discernible value from either a counterinsurgency or institutional development perspective. Two years after the Afghan government built the Provincial Agricultural Vocational Training Center in Paktika, the PRT carried out refurbishments to the structure. The USAID Local

Governance Community Development Program (LGCD) provided additional improvements to the facility and technical assistance in the form of an embedded Afghan advisor. An Agri-business Development Team (ADT) from the neighboring province provided computer equipment to the Directorate while the PRT purchased materials for the Directorate to distribute to communities. Despite direct support and changeover of several directors, the DAIL executed no known trainings, refused to distribute materials to communities even when communities offered to transport the materials themselves, was unable to maintain the DAIL equipment including tractors and generator, and would continually demand additional direct financial support before any performance improvements. Additionally, there was no known utilization of ministerial program resources other than the core operating funds covering salaries and maintenance. The distortions at the provincial level were not justified as they did not produce counterinsurgency benefits or better prepare the DAIL to facilitate national programs.

The district approach differed significantly by augmenting the district civil service with personnel hired and managed by the PRT, requiring partnering and risk sharing by the district government and technical local-hires, and requiring community contribution and cooperation with the government for projects. The PRT, through a partnership between the United States Department of Agriculture (USDA) and PRT S5, oversaw and managed a network of 14 college-educated Afghan agricultural trainers located in six districts hosting coalition maneuver elements. The trainers worked by, with and through the district government and carried out joint project scoping and monitoring visits with district civil and security personnel. A district body (an agricultural shura as there was no DDA yet formed) met at the district center and served as the negotiating body with the government for project requests. Each community project was $5,000 or less in contributions to the project in the form of contracted services or procured materials and required community contributions which on average came to 30-50% matching. The distortions included trainer salaries,[14] the communications support and protection of residing at night on a coalition forces installation, the remote management and oversight by the PRT and ability of the PRT to hire and fire on the basis of performance, occasional train the trainer support from ADT Subject Matter Experts (SME), and the project funds. These distortions were offset by the contributions made by communities and the Afghan civil and security forces, the fact that site visits did not require coalition forces, the lower cost and risk of an Afghan local-hire traveling with ANSF escort verses an expatriate civilian requiring coalition forces escort, and the lower cost of remotely managing project implementation from a central location through deliberate data collection. The increased cooperation between the government and population was the primary counterinsurgency benefit whereas the interventions were small enough to be

[14] The trainer salaries were higher than civil service pay but comparable to salaries paid to NSP contractors. See Special Inspector General for Afghanistan Reconstruction, *Afghanistan's National Solidarity Program Has Reached Thousands of Afghan Communities, but Faces Challenges that Could Limit Outcomes* (Kabul: 2011), 11.

reasonably within the capacity of the Afghan government to absorb into existing programs such as NABDP, APRP or NSP.

The Paktika cases highlight how direct assistance can create differing incentive structures. The provincial approach rewarded government failure while the district approach rewarded cooperation and performance on the part of the government and population. Provided a supplemental district approach maintains the minimal connectivity between government and population and provincial technical augmentation, ISAF can afford to reduce direct financial assistance to the province without sacrificing our counterinsurgency or institutional development objectives. The 1391 Provincial Budgeting Pilot along with funds such as the Good Performer's Initiative (GPI) can largely replace our direct assistance while helping foster improved connectivity between the national and provincial levels of government.

CHAPTER 7: EXECUTING CERP IN SUPPORT OF A RESPONSIBLE ECONOMIC TRANSITION

1. OVERVIEW
2. EXECUTING CERP FOR ECONOMIC EFFECTS
3. MEASURING ECONOMIC IMPACTS
4. CASE STUDIES

OVERVIEW

A. As we begin to work towards transition, a significant amount of concern has surfaced about the potential negative impact the decline in our force presence and operational requirements will have on the Afghanistan economy. While transition is an important indicator of success achieved by coalition forces, the Afghanistan government, and the international community, a responsible transition also includes understanding the economic implications of a changing operational environment.

B. Our counterinsurgency strategy has made tremendous gains at great costs. The potential negative consequences of inducing an economic downturn are significant and could reverse some of our achievements to include: reducing government legitimacy, lowering incomes, and increasing unemployment. A weakened economy will also increase the risks associated with transition and would send a negative message about the effectiveness of the Afghan Government.

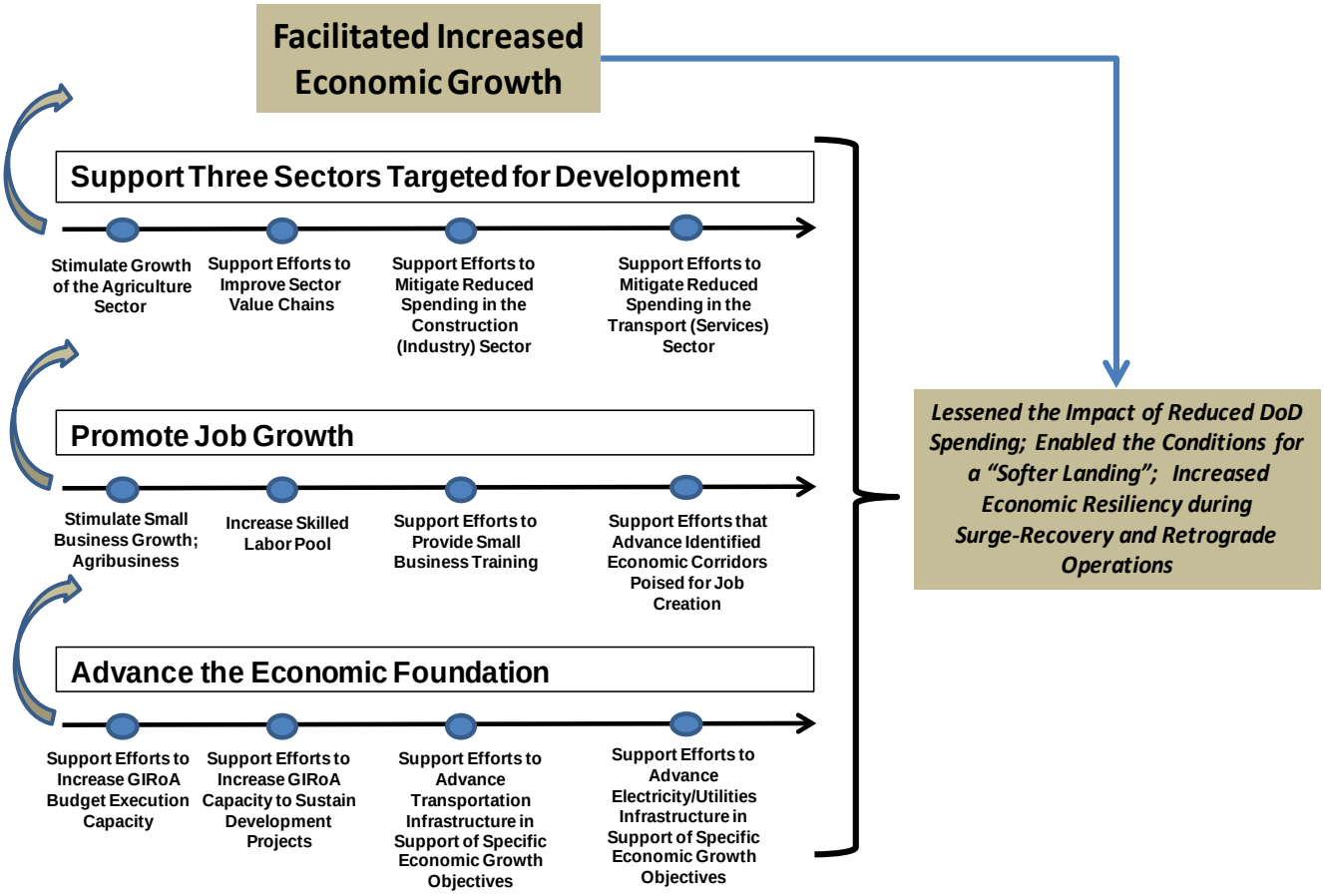
C. Executing a responsible economic transition requires the linkage of strategy and ground-level actions by nesting an economic spending strategy down to specific project categories and types. This chapter outlines a recommended strategy to achieve the goal of facilitating economic growth by supporting three basic objectives utilizing the existing framework of CERP. The objectives, which are progressive and build toward the overarching goal of facilitating economic growth, are: (1) advance the economic foundation, (2) promote job growth, and (3) support three sectors targeted for development (agriculture, transport, and construction). Additionally, recommended lines of effort are clearly linked to measures of performance and effectiveness. While relating our efforts directly to the growth of Afghanistan's Gross Domestic Product (GDP) is difficult, monitoring changes certainly provides the economic surveillance needed to focus our efforts as best as possible.

EXECUTING CERP FOR ECONOMIC EFFECTS

A. As the challenges of operational spending in support of economic growth become more evident, the importance of CERP funding as a flexible resource that can be applied with economic precision increases. While the magnitude of these funds is significantly smaller than operational spending, the ability to focus these funds specifically for sustained economic growth provides an opportunity for the development of a strategic approach consistent with available resources and appropriate for military involvement.

B. The recommended strategy aims to focus CERP in a manner that promotes sustainable economic growth and lessens the impact of reduced DoD spending. While all of CERP spending has a positive economic impact to a certain degree, a more precise application is required given the potential economic slowdown in Afghanistan resulting from force reductions and other policy actions. The suggested approach is nested within the overarching objectives of the U.S. Economic Strategy for Afghanistan.

CERP Economic Spend Strategy



1. **Advance the Economic Foundation:** refers to addressing some of the fundamental or basic requirements needed to support economic growth. Focal points were selected based on identified needs and suitability for CERP. Two main efforts are recommended in pursuit of this objective: capacity building and basic infrastructure. Budget execution and sustainment of development projects are areas of concern for GIRoA. The World Bank reports GIRoA only executed an estimated 40% of its development budget over the past three years. They also report that operations and maintenance costs of development projects are a key factor in a low sustainability ratio as revenue collection lags operating budget requirements. In terms of infrastructure, work completed by Dalberg Global Development Advisors, a USAID implementing partner, cites poor basic infrastructure and services as one of three key constraints to foreign investment. CERP certainly won't solve these problems; however, when carefully selected and well-executed projects are synchronized with efforts by other agencies or members of the international community, the impact can be significant.

2. **Promote Job Growth:** Unemployment is a significant problem in Afghanistan and while most would agree that there are a large number of unemployed Afghans, the data varies. Estimates range from 35% to 70%. This is compounded by an unclear definition of "unemployed" as related to the culture of Afghanistan. Since small business growth is a primary mechanism for creating jobs, CERP projects that synchronize with USAID's Afghanistan Small and Medium Enterprise Development (ASMED) program, the U.S. Department of Commerce's Afghanistan Investment and Reconstruction Task Force (AIRTF), and with Task Force Business and Stability Operations (TFBSO) are recommended to provide a sustainable approach to promoting job growth. As the coalition begins to reduce the local national workforce, vocational training in sectors demanding skilled labor will help these workers get alternative employment.

3. **Support Targeted Sector Development:** Agriculture employs approximately 70% of working Afghans. Additionally, the construction and transport sectors will also be impacted as a result of reduced DoD spending. Therefore, a two-pronged approach is recommended: (1) support development of agriculture which is a key driver of economic growth, but not significantly impacted by reduced spending and (2) mitigate the impact on the construction and transport (services) sectors by countering with additional development support. Targeting these three sectors (agriculture, construction, and transport) allows for a focused approach.

C. Recommended lines of effort, as illustrated in the tables below, were developed as the basis for determining measures of performance and effectiveness. CERP projects have already been executed along these lines, but not as part of a formal strategy or measured in terms of attaining strategic objectives and goals. Five of the nineteen CERP project categories are best suited to support the objectives. The lists of recommended project types are refined based on desired effects and synchronization with the lines of effort for each objective. This refinement provides a tactical way forward. The five recommended CERP categories to focus economic effects are:

1. agriculture/irrigation
2. government and small business capacity building
3. electricity
4. transportation
5. food production and distribution

Projects from the electricity and transportation categories should focus on small projects that support basic infrastructure needed for specific economic effects. For example, a small feeder road to link agriculture production to urban consumption or small electricity projects to connect an economic or business zone into the larger grid. The recommended project types were selected based on the potential for sustainable economic impact followed by four additional requirements:

1. Direct correlation to the objectives and targeted sectors
2. Relative ease of implementation; limited complexity and duration of execution
3. Minimal or low sustainability requirements
4. Synchronization with interagency, international, and GIRoA economic based strategies

A review of the recommended project types indicates a strategy that generally avoids building schools, large roads, hospitals, government buildings, and other major construction. While some of these types of projects are humanitarian in nature and of course support the needs of the population, the accompanying sustainability requirements and/or limited economic benefit are not consistent with the desire to focus on specific objectives nor on the relatively short time period prior to transition.

Objective	Advance the Economic Foundation			
Lines of Effort	Support Efforts to Increase GIRoA Budget Execution Capacity	Support Efforts to Increase GIRoA Capacity to Sustain Development Projects	Support Efforts to Advance Transportation Infrastructure in Support of Specific Economic Growth Objectives	Support Efforts to Advance Electricity/Utilities Infrastructure in Support of Specific Economic Growth Objectives
Recommended Projects	Support GIRoA Led Budget Training Events	Increase Skilled Labor in Project Management and Development Planning	Construction/Rehabilitation of Small Feeder Roads Linking Rural Production to Urban Consumption	Small Electrification Projects in Support of Small Business
	Specific Training to MAIL/DAIL to Deliver Services, Manage Operations and Budget	Projects to Increase Sustainment Capacity and Maintenance Equipment		Small Electrification Projects in Identified Economic Corridors
	Increase Skilled Labor in Finance, Accounting, Budgeting			Small Electrification Projects Specific to Sector Value Chain Segments
	Increase Skilled Labor in Project Management and Development Planning			

Objective	Promote Job Growth			
Lines of Effort	Stimulate Small Business Growth; Agribusiness	Increase Skilled Labor Pool in Support of Target Sector Development	Support Efforts to Provide Small Business Training	Support Efforts that Advance Identified Economic Corridors Poised for Job Growth
Recommended Projects	Small Business Grants	Vocational Training in Support of Target Sector Development	Business Planning and Management	Small Electrification Projects in Economic Corridors
	Small Electrification Projects in Support of Small Business	Provide Vocational Training to LN's Working on Bases Prior to Closures and Release	Value Chain Analysis and Improvement Training	Border or Export Hub Enabling Projects
	Projects in Support of Agribusiness		Training on Preparing Bids and Accessing Capital	Small Business Grants in Economic Corridors
	Small Business Vendor Shuras			Vocational Training to Fill Skilled Labor Gaps in Economic Corridors
	Projects to Increase Small Business Market Places			

*** Target Sectors: Agriculture, Construction, and Transport (Services)**

CERP Categories

- Agriculture/Irrigation
- Transportation
- Food Production & Distribution
- Government & Small Business Capacity Building
- Electricity

Objective	Support Targeted Sector Development*			
Lines of Effort	Stimulate Growth of the Agriculture Sector	Support Efforts to Improve Value Chains of Three Target Sectors*	Support Efforts to Mitigate Reduced Spending in the Construction Sector	Support Efforts to Mitigate Reduced Spending in the Transport (Services)Sector
Recommended Projects	High-Yield and Drought Resistant Seeds	Improved Storage/Streamlined Logistics to Reduce Spoilage and Loss of Produce	Rehabilitation/Construction of Warehouses and Silos	Refrigerated Transportation
	Climate and Crop-Specific Fertilizer	Improve Afghan Construction Materials and Supplies	Watershed Rehabilitation	Transport Maintenance Capacity
	Farming Equipment	Small Electrification Projects Specific to Target Sector Value Chains	Construction of New Irrigation Structures	Material Handling Equipment (Shipping Containers)
	Agricultural Training, Planting Techniques, Improved Use of Irrigation and Fertilizers, Pre-Harvest Maintenance		Construction/Rehabilitation of Small Feeder Roads Linking Rural Production to Urban Consumption	

*** Target Sectors: Agriculture, Construction, and Transport (Services)**

CERP Categories

- Agriculture/Irrigation
- Transportation
- Food Production & Distribution
- Government & Small Business Capacity Building
- Electricity

MEASURING ECONOMIC IMPACTS

The approach to monitoring progress against objectives and goals present three levels for consideration: (1) the project, (2) the economic spend strategy, and (3) the macro-level GDP. Projects should be evaluated by a cost-benefit and economic impact analysis. The cost benefit approach employs the net present value methodology and will indicate if a particular project is expected to generate a benefit stream larger than the cost. The economic impact analysis will attempt to measure the residual economic activity that results from the project. This type of analysis should be part of the project development process and may require the support of subject matter experts. Suggested measures of performance and effectiveness are depicted under each objective in the diagram below. Supported measures of effectiveness are also identified as a surveillance mechanism to maintain visibility over key economic indicators. While correlating CERP projects directly to indicators such as improved budget execution and

reduced unemployment is difficult, the projects will generate economic effects that may need to be revaluated and re-focused as macroeconomic data is collected and evaluated.

Economic Measures of Performance and Effectiveness

	Advance the Economic Foundation	Promote Job Growth	Support Targeted Sector Development
Measures of Performance	# Local Nationals Received Vocational Training #GIRoA Personnel Trained on Budget Execution # GIRoA Program Manager & SMEs Trained # Small Feeder Roads Constructed # Small Electrification Projects # Projects Executed Under This Line of Effort	# Small Business Grants # Small Business Training Events # Projects to Advance Economic Corridors # Local Nationals Received Vocational Training # Projects Executed Under This Line of Effort	# Value Chain Projects # Seed & Fertilizer Distribution Projects # Irrigation Projects # Small Electrification Projects # Agriculture Training Events # Small Feeder Roads Constructed # Projects Executed Under This Line of Effort
Measures of Effectiveness	# Local Nationals Trained and Subsequently Hired Amount of Sustainment Funds Requested by Provinces /Districts for CERP Projects % Increase in Electricity (Kilowatt Hrs) # Commercial Vehicles Using Small Feeder Roads	# Permanent New Hires by Small Business Increase in Electricity (Kilowatt Hrs) Increase in Small Business Activity (Revenues/Output)	% Increase in Agriculture Productivity % Increased Irrigated Area # Commercial Traffic Using Small Feeder Roads % Increase in Electricity (Kilowatt Hrs)
(Indirect) Supported Measures of Effectiveness	% Increase in Budget Executed % Increase in Fiscal Sustainability Ratio	Decrease in Unemployment	% Increase Growth of Agriculture Sector Continued Growth of Construction & Transport Sectors

Promote Growth of GDP

CASE STUDIES

Fruit Company: CERP Category Food Production/Distribution

This project addresses all three objectives of the economic spend strategy **(HIGH IMPACT PROJECT).**

Background: The fruit company owner invested over $700K to modernize equipment. The new equipment should have allowed him to expand operations and increase productivity. However, unreliable electricity was an impediment to their growth. Analysis indicated that a small business grant would allow the owner to hire workers and purchase supplies and materials required to connect his business into the municipality power grid.

Evaluation of the Project: This opportunity was recognized and developed by the Agricultural Development Team .

1. The project impacts all three objectives and corresponding lines of effort as follows:
   a. supports a targeted sector (agriculture, construction)
   b. promotes job growth (project in support of agribusiness)
   c. advances the economic foundation (electrification project in support of a small business)

2. Through cost benefit analysis it was estimated that a one-time grant of $34K, generates 10 jobs & and $27,000 in sales (consumption).

Measures of Effectiveness: Increase in Number of Permanent New Hires
Increase in Sales
Increase in Procurement of Agriculture

Supported Measure of Effectiveness: Input to GDP; Decrease in Unemployment

$35K X 1.5 Keynesian Spending Multiplier = $52.5K One-Time Input

$27K Increase in Consumption = $27K Sustained Input to GDP/Year

Capacity Building (Hypothetical): CERP Category Government & Small Business Capacity Building

Background: The regional public works department is responsible for creating a safe and effective road network in Afghanistan. In one of the provinces the maintenance of 300 km roads is estimated to cost $150M. Many of these roads were built by military commanders leveraging CERP or by donors. Maintenance costs are expected to require $8M a year. Local GIRoA officials have demonstrated limited capacity, equipment, and expertise for road maintenance. Additionally, understanding the budgeting system and procedures for requesting sustainment funds has proven challenging. To address this constraint CERP funds were used to procure $2M of equipment. $25K was used to provide vocational training to 10 budget support personnel and 3 program managers. $100K was used to provide skilled labor training in road maintenance.

Evaluation of the project:
The project impacts two objectives within the economic spend strategy:

a. Advance the Economic Foundation (Support budget training, Increase skilled labor, sustainment capacity)
b. Promotes Job Growth (Vocational Training)

Additionally, on-budget execution of funding has been shown to be far more effective in terms of impact to the economy than off-budget spending. Increasing capacity to execute the budget has been cited as a key requirement for development.

Measures of Effectiveness: Increase in budget submissions for sustainment funds, # of local nationals trained and subsequently hired, increase in road maintenance operations.

Supported Measures of Effectiveness: Increase in the % of budget executed, increase in the financial sustainability ratio, decrease in unemployment, input to promote growth of GDP.

Small Feeder Road: CERP Category Transportation

This project addressees all three objectives of the economic spend strategy **(HIGH IMPACT PROJECT).**

Background: Local feeder roads are utilized by 1500 local residents and 100 farmers. Currently, the key feeder road is an unimproved dirt road resulting in damaged goods, reduced capacity during inclement weather, and impeded speed to market. Analysis indicates that improving the road will generate additional commerce by enabling farmers to transport and maintain marketable goods year round. For agribusiness, this represents an improvement to the business value chain.

Evaluation of the Project: The project was evaluated based on the following conditions:

a. supports a targeted sector (agriculture, construction, and transport)
b. promotes job growth (project in support of agribusiness)
c. advances the economic foundation (links rural production to urban consumption)

Through a cost benefit analysis it was estimated that a $521K investment would generate $400K in additional commerce per year.

Measures of Effectiveness: Increase in Agricultural Productivity **(**$400K)

Supported Measures of Effectiveness: Input to GDP

Year One: $521K Project using AFG Vendor (42% Remains in Economy) = $172K into Economy X 1.5 Keynesian Spending Multiplier =
$258K One-Time Input into GDP

After Completion: $400K Increase in Consumption/Year =
$**400K Sustained Input into GDP/Year**

Notes:

1. The Keynesian multiplier was introduced by Richard Kahn in the 1930s. It showed that any government spending brought about cycles of spending that increased employment and prosperity regardless of the form of the spending. For example, a $100 million government project, whether to build a dam or dig and refill a giant hole, might pay $50 million in pure labor costs. The workers then take that $50 million and, minus the average saving rate, spend it at various businesses. These businesses now have more money to hire more people to make more products, leading to another round of spending. In the case studies presented above a multiplier of 1.5 was used to capture this effect.

2. Consumer spending or consumption is a key component of GDP. The basic formula for calculating the GDP is: $Y = C + I + E + G$

   Where, Y =GDP, C=Consumer Spending (Consumption), I=Investment Spending, E=Excess of Exports over Imports, and G=Government Spending

CHAPTER 8: HUMANITARIAN RELIEF (HR) YARDS

1. PURPOSE
2. REFERENCES
3. USING THE HR YARD
4. HR YARD OPERATIONS
5. HR YARD TEMPLATES AND EXAMPLES

PURPOSE

The purpose of this Chapter is to provide commanders with an operational overview of the programs, processes, and procedures of available assets at the Humanitarian Relief (HR) Yards at Bagram Air Field (BAF) and Kandahar Air Field (KAF) and the procedures for field units when ordering humanitarian supplies and community outreach assets.

This program should not be confused with the term “Humanitarian Assistance” (HA), which is performed by the U.S. Military with a top down directed order from NATO (ISAF) to provide Foreign Humanitarian Assistance (FHA) typically resulting from a request from a U.S. Government (USG) agency or an International Organization (IO) such as an agency of the UN. It is important to make the distinction that while assets in the HR Yards are typically meant for use by ground commanders to use in COIN operations, they may be required for use in FHA/HA operations. In such circumstances FHA/HA activities take precedence over any HR execution.

NOTE: This program has recently been revised and renamed from “Humanitarian Assistance” (HA) to “Humanitarian Relief” (HR) to distinguish it from other humanitarian type support programs because it is an extension of CERP; however, the naming conventions found in CIDNE for the referenced HR request do not yet reflect the change.

REFERENCES

A. DoD FMR 7000.14-R, Volume 10, Chapters 7 and 8

B. DoD FMR 7000.14-R, Volume 12, Chapter 27

C. DoD FMR 7000.14-R, Annex A

D. DoD FMR 7000.14-R, Annex B

E. ISAF SOP 310 dated 12 Jun 2011. ISAF Humanitarian Assistance / Disaster Relief Response.

F. USFOR-A FRAGO 09-075 dated 17 May 2009. Directs JSC-A to assume CJOA-A Class X U.S. Humanitarian Assistance Commodity Management.

G. USFOR-A FRAGO 09-252 dated 3 November 2009. Publicizes changes to the USFOR-A Commanders Emergency Response Program (CERP).

USING THE HR YARD

A. HR Points of Contact:

1. USFOR-A J9. DSN: 318.449.4905 / 318.449.4903

2. JSC-A J9. DSN: 318.421.7081

3. BAF HR Yard. DSN: 318.481.6398 / 318.481.6397

4. KAF HR Yard. DSN: 318.841.6425 / 318.421.6840

B. HR Program Overview:

1. The purpose of the HR Yards is to enable U.S. Commanders to respond to urgent humanitarian relief requirements within their Area of Responsibility (AOR) by requesting typically stocked basic life support items such as food, clothing, and shelter that will immediately assist the indigenous population. "Urgent" is defined as any chronic or acute condition of human suffering that, in the judgment of the local commander, calls for action. Other items are accessible on a basis of availability.

2. Types of USFOR-A HR Programs:

   a. CIVIL SUPPORT PROGRAM (CSP). The CSP is a CERP funded program designed to act as a community outreach initiative. It is a tool designed for Commanders to act immediately to alleviate human suffering by providing food (i.e. rice and beans), clothing, and shelter (i.e. blankets and tents) in support of the Commander's COIN objectives.

   b. CHARITABLE DONATION PROGRAM (CDP). The CDP is a community outreach program designed to distribute items donated by individuals and organizations for the U.S. military to dispense to the benefit of the Afghan people in support of the Commander's COIN objectives.

3. HR Program Guidelines:

   a. Using CSP (CERP funded HR):

      1) Before using the HR Yards for CSP, Commanders at all levels are required to verify that local, national, donor nation, NGOs or other aid resources, statutory authority or other humanitarian assistance are not reasonably available.

2) If assets are requested for an ongoing operation under control of a U.S. Government Organization (GO), an International Organization (IO), or an NGO, distribution will fall in line with all applicable Federal and international guidelines concerning such actions.

3) The requesting unit will submit a HR Request through CIDNE *(see Section 5).* This initial step will generate a HR identification number.

4) All HR Requests require the following attachments (*uploaded to the Media tab in CIDNE*):

   a) A letter of justification from an O-5 U.S. Commander (or above) stating the need for urgent HR and a valid reasoning. Units are reminded that HR requests are for emergency use and must be in accordance with all applicable CERP guidance found in DoD FMR 7000.14-R, Volume 12, Chapter 27, and this SOP. Stockpiling HR items in excess of 29 days in anticipation of an urgent humanitarian need event is not a valid justification. HR requests without valid justification letters, or not in accordance with the CERP guidance, will be rejected.

   b) A letter from GIRoA in Dari or Pashto also translated into English requesting U.S. Military humanitarian relief.

   c) A legal review stating that the request is compliant with CERP funding execution policy.

5) Coordinate with JSC-A to ensure they are aware of the HR request and provide a DSN/NIPR contact number. Once the request has been approved, the tasked HR Yard will contact the POC listed on the CIDNE request to determine the mode of shipping. At which time the POC will provide the DODAAC and UIC as this information is required on all TMRs and AMRs.

6) Natural disasters, such as earthquakes, floods, etc, may take precedence over other emergency response requests, such as migrations or displaced indigenous populace due to insurgent or drug warlord activities.

7) Commanders may purchase humanitarian relief goods from the local economy under the Commander's Small-Scale Projects vice utilizing HR yards (See Chapter 4: Advance Bulk Funds).

8) CERP HR brought through the CSP is meant for immediate distribution (*within 30 days of receipt*). Other than the approved HR Yards at BAF and KAF, units are prohibited from stockpiling HR supplies and materials in excess of 29 days.

b. Using CDP (Donated HR):

1) Overview: The Civil Military Operations Center (CMOC) at Camp Arifjan, Kuwait provides items retrograded from the Iraq drawdown and donations from Stateside Non-Governmental Organizations (NGO's) to the BAF and KAF HR yards. These items are made available to units for distribution to the local populace or military personnel depending on the nature of the item.

2) Contact JSC-A for the link to the updated listing of these items.

3) To request Charitable Donation items open a HR request in CIDNE to generate a HR Identification Number. Upload a Letter of Justification signed by the Commander. The LOJ must also state the name and title of the Afghan official you will be working through. (*Unless these items are strictly for U.S/Coalition Military Personnel*) Upload a list of items requested including the quantity. Do not mix items from one HR yard to the other onto your CIDNE request. Requests from each HR yard must have a separate request. Call the HR yard whose list you are selecting from to ensure they are aware of the request.

4) Coalition and Afghan Forces may also use this program but must acquire a signed LoJ from a U.S. Commander and upload into CIDNE.

5) HR Yard Procedures:

a) As shipments arrive from Kuwait the items must go through a filtering process. Items are first separated into two categories – items relevant for military personnel and items for the local populace. Items for the local populace are further checked for cultural sensitivity. If any items from either category are deemed non-appropriate or in poor condition they are to be taken to the local trash facility for incineration.

b) Each yard will update their Charitable Donation spreadsheet as new items arrive and forward to JSC-A J9.

c) When requesting units call with their HR Identification Number verify the required documents are uploaded and acquire their DoDAAC, UIC, AND DSN/NIRP phone. Discuss transportation to see if a TMR is needed for Host Nation transportation, and AMR is needed for an air drop, or if they will use organic assets.

C. HR Yard Procedures for CERP HR Request:

1. Confirm all required documents are uploaded to CIDNE.

a. Completed Project File Checklist

b. HR Report from CIDNE

c. Signed Letter of Justification from the requesting unit's O-5 U.S. Commander (or above)

d. Copy of the humanitarian relief request from GIRoA (translated into English).

e. Legal review from the requesting unit's Judge Staff Advocate stating how the request is in accordance with the CERP guidelines.

f. Confirmation of delivery from the requesting unit will be accomplished in CIDNE as a HR Distribution Report (linked as an association to the HR Request), see *Section 16*, with UNCLASSIFIED storyboards attached. *(**NOTE**: If distribution reports are not received from the requesting unit within 30 days of delivery, then future shipments may be delayed or withheld until the reporting requirements have been met.)*

g. Any CMO and/or KLE reports related to this HR request *(if applicable)*

h. Transfer of Authority Document *(if applicable)*

2. Calculate the load plan to determine number of vehicles required. Coordinate with the requesting unit to identify a need for Host Nation Transportation. If not required then do not submit a TMR.

3. Submit a Truck Movement Request (TMR) through the Movement Control Team (MCT) to arrange for Host Nation transport unless the requesting unit indicates they are using organic assets. Host Nation trucks are generally available within 4-10 days of submitting TMR, depending on location.

4. Coordinate with the requesting unit and the MCT to determine when to begin pre-loading the HR Pack to minimize pack and load times on the day the truck arrives. Pre-load items into tri-walls and/or 463L pallets. This action will be weather dependent.

5. Host Nation trucks are typically flat beds and assets are loaded onto pallets. If a container is provided, place a security seal on the door after loading is complete. Provide the driver with a memorandum stating what is in the container, quantity, destination, and the seal number. Ensure the driver understands the memo is to be provided to the requesting unit upon arrival. Insure the requesting unit is aware of this action.

6. Escort the Host Nation trucks to the base gate.

7. Follow up with the requesting unit to ensure shipment arrived intact and to provide any last minute guidance. If a container was shipped and the seal was broken upon arrival or contents missing, inform the unit to document on a memorandum signed by their Commander and upload into CIDNE. (HR Yard personnel must then download the memorandum to keep in their files for future audits) Inform the requesting unit to submit a new CIDNE request for the missing items and upload all the original documents from the previous HR request including the memorandum of missing or damaged items. Once all deliveries have been made to the requesting unit, close out both HR requests in CIDNE.

8. Throughout the process, keep the requesting unit's chain of command (BDE and Division), JSC-A, and USFOR-A J9 informed of status.

D. CERP HR Yard Inventory:

1. **Food:**
   a. Rice, 5 kg bag
   b. Beans, 5 kg bag
   c. Cooking Oil, 18 kg box
   d. Salt, 6 kg sack
   e. Flour, 0.8 kg bag
   f. Sugar, 5 kg bag
   g. Tea, 40 kg box

2. **Clothing:**
   a. Clothing, Boys', 25 kg bundle
   b. Clothing, Girls', 25 kg bundle
   c. Clothing, Men's, 25 kg bundle
   d. Clothing, Women's, 25 kg bundle
   e. Sweaters, Boys', 20 kg bundle
   f. Sweaters, Girls', 20 kg bundle
   g. Sweaters, Men's, 20 kg bundle
   h. Sweaters, Women's, 20 kg bundle
   i. Coats, Boys', 14 kg bundle
   j. Coats, Girls', 14 kg bundle
   k. Coats, Men's, 40 kg bundle
   l. Coats, Women's 20 kg bundle
   m. Cap/Scarf sets, Children's, 25 kg bundle
   n. Cap/Scarf sets, Adult, 11 kg bundle
   o. Gloves, Children's, 4 kg bundle
   p. Gloves, Adult, 6 kg bundle
   q. Boots, Rubber 80 kg bag
   r. Shoes, Boys', 10 kg bundle
   s. Shoes, Girls', 10 kg bundle
   t. Shoes, Men's, 10 kg bundle
   u. Shoes, Men's, 10 kg bundle
   v. Sandals, Children's, 21 kg bundle

w. Sandals, Men's, 100 kg bundle
x. Sandals, Women's, 85 kg bundle
y. Socks, Children's, 5 kg bundle
z. Socks, Men's, 5 kg bundle
aa. Socks, Women's, 5 kg bundle

3. **Household:**
   a. Blankets, 25 kg bundle
   b. Tents, 90 kg roll
   c. Tarps, 20 kg bundle
   d. Sandbags, 5 kg bundle
   e. Plastic Wrap, 100 kg roll
   f. Stoves, 7 kg bundle
   g. Coal, 5 kg bag
   h. Snow and Ice Clearance (SNIC) Coveralls, 40 kg bundle
   i. Prayer Rugs, 10 kg roll

4. **Health and Comfort:**
   a. First Aid Kits, 11 kg bundle
   b. Dental Kits, 25 kg bundle
   c. Hygiene Kits, 21 kg bundle
   d. Teacher Kits, 15 kg bundle
   e. Student School Kits, 15 kg bundle
   f. Tool Kit, 60 kg kit

HR YARD OPERATIONS

A. HR Yard Organization and Administration:

1. Team Chief (0-5) USFOR-A J9: Responsible for the management, policies and procedures of HR support activities across the Combined Joint Operations Area-Afghanistan (CJOA-A). Final authority and ultimate responsibility for all actions taken at the HR yard both physically and administratively rest with the Team Chief. Liaises with command elements, U.S. Embassy, GIRoA and Non-Governmental Organizations as necessary to effect HR operations in Afghanistan and the USCENTCOM AOR. Approval authority for distribution of Chief of Mission Life Support items.

2. **Joint Sustainment Command—Afghanistan (JSC-A):** The JSC-A Commander is responsible for the management, oversight, replenishment, and day-to-day operations of the Humanitarian Relief Yards located at Bagram Air Field and Kandahar Air Field. The Commander must ensure proper management, reporting, and fiscal controls are in place to properly account for CERP funding. The Commander will ensure local, national, donor nation, non-government organizations, or other aid resources are not reasonably available before any CERP funds are used. The JSC-A Commander will appoint the PMs, PPOs, and PAs (as required) for both yards, using a DD Form 577. This authority can be delegated, in writing, to

the JSC-A Chief of Staff. The appointed individuals will only be issued appointment orders upon successful completion of all applicable training provided by the functional. If a PA is appointed for the yard, the Commander will ensure every PA entrusted with CERP funds is provided a vault, safe, or other adequate secure facility (*in accordance with DoD FMR 7000.14-R, Volume 5*) for his/her exclusive use. **The Commander must ensure no individual serves in more than one of the following positions at the same time: Project Manager (PM), PPO, or PA (except where otherwise authorized by this SOP).**

3. HR NCOIC (E-8; one rank up or one rank down permissible): Provides oversight of HR yard management and operations for three programs – CERP, Charitable Donations Program, and Chief of Mission Life Support Pre-staged items. Ensures all regulations, guidelines, and procedures are adhered to. Oversees safety program. Ensures all yard personnel are accounted for and have a safe, effective working environment. Responsible for maintaining the CERP checkbook for HR. Periodically submits the CERP checkbook to the servicing RM office for review. Ensures HR shipments arrive at their final destination and keeps higher command and supporting elements informed. Oversees actions to replenish supplies under the CERP program and inventory management. Tracks and renews Local National annual contract. Directly responsible for all HR yard military personnel and Local Nationals under contract. Oversees distribution of Chief of Mission Life Support items.

4. HR YARD MANAGER (E-7; one rank up or one rank down permissible): Carries out daily HR yard operations IAW with HR NCOIC directive. Coordinates monthly veterinarian and vector control inspections. Makes recommendations to changes to the MAAWS-CERP SOP and develops SOPs as necessary. Supervises Local Nationals and services their requirements such as badges, transport on base, and other needs.

5. HR YARD SUPERVISOR (E-5; one rank up permissible): Insures vehicles are serviced and dispatched. Maintains files on monthly inventories and inspections. Tracks all HR requests and replenishments and coordinates as appropriate with requesting units until closed out. Recommends CERP stock levels according to historical usage. Maintains all records and files associated with HR yard operations. Submits TMR for HR requests and coordinates transportation of HR as necessary.

6. HR SPECIALIST (E-4): Oversees receipt, sorting, organization and distribution of HR items. Fills all HR requests. Supervises Local Nationals as required. Insures HR yard is clean and contents are secure. Periodically inspects MILVANS to insure they are serviceable and adequately protect contents. Responsible for vehicles and primary driver.

B. HR Yard Standard Operating Procedures:

1. The HR Yards are for the storage of CERP HR supplies/materials, Charitable Donation items and Chief of Mission Life Support pre-staged items only. The storage of any other section's or unit's container(s) is prohibited without written permission from the JSC-A.

2. Both the incoming HR NCOIC and outgoing HR NCOIC will conduct a wall-to-wall, physical inventory of the yard prior to RIP/TOA. This physical inventory will be documented and the incoming HR NCOIC will sign the inventory turnover sheet indicating they have personally validated all stock items and levels and fully accept pecuniary liability for the yard.

3. Monthly, the HR NCOIC will conduct a 10% physical inventory (10% of the line items) to include at least one food line item. The inventory should be conducted between the 1st and 3rd of every month. Discrepancies greater than 5% between the daily log inventory and the physical inventory will be documented and reported to the JSC-A via a memorandum. The HR NCOIC will not inventory the same line items two months in a row unless a deviation greater than 5% is found.

4. The official counts during an inventory as well as the loading/unloading of trucks shall be done by U.S Military personnel only. In addition, the lead seal will be placed on the truck by U.S Military personnel only.

5. The HR NCOIC will ensure damage stock items are properly identified and removed from the daily inventory listing.

6. A memorandum will be required if HR materials are identified as damaged or unfit for use. The memorandum will be filed with the daily inventory listing, submitted to the JSC-A and will include the following sections:

   a. Identify damaged item(s) with quantity lost

   b. State the cause of damage

   c. Identify the means of disposal

   d. State the dollar value lost

7. Food Safety: Food items will be stored in a clean waterproof container. Commodity management will include the First-In, First-Out (FIFO) method of stock rotation as measured by container. In an effort to avoid condensation build-up and/or mold, food containers will be opened for a minimum of two hours every 48 hours (weather dependent). Food products will be stacked inside containers to allow for airflow within the container.

8. Veterinarian and Vector Control Inspection should be arranged on a monthly basis. Maintain final reports received. Insure these inspections are annotated on the MILVAN door logs for all MILVANs inspected.

9. HR Yard Security: Vehicle gate access will be closed at all times, except to allow for approved MHE, delivery or shipping vehicle traffic. Only authorized military vehicles and vendor pick-up/delivery vehicles are permitted inside the HR compound. Vehicles owned and operated by local national workers or local national vendors are not authorized in the HR compound at any time.

10. Local Nationals will only be paid for days worked. The HR NCOIC will be responsible for tracking all local nationals' time and attendance and submitting the proper paperwork to the Finance Office for payment on the 26th of each month.

11. Internal Products: Maintain the "Running HR Tracker" spreadsheet and "HR Yard Personnel" spreadsheet. Forward to USFOR-A J9 and JSC-A J9 as changes occur.

C. HR CERP Replenishment Duty Description:

1. The Project Manager (PM) serves as the Commander's representative, as well as, the Contracting Officer Representative (COR), for all HR replenishment efforts. Only USG personnel can be appointed as PMs and must be the rank of E-7 or above (or civilian equivalent).

   a. The Project Manager:

      1) Must comply strictly with all provisions of his/her appointment, governing regulations, and this SOP.

      2) Must follow standards of conduct as prescribed in DoD 5500.7-R, *Joint Ethics Regulation*.

      3) Initiates an ADR for the HR replenishment request in CIDNE *(see Section 5)*.

      4) Prepares all funding documents.

      5) Coordinates all staff to obtain the necessary approval documentation completed for HR replenishment requests.

      6) Processes the draft DA Form 3953 (PR&C), ADR, legal review, and LoJ through the JSC-A Commander (or his/her designee) and the appropriate approval authority (as required).

      7) Once approved, updates all applicable fields on the ADR in CIDNE.

      8) Sends the approved DA Form 3953 (PR&C), signed ADR, legal review, and signed letter of justification to the RM Office for funds certification

and commitment. Updates ADR in CIDNE (Actual Finance Date, Amount Allotted, etc.).

9) Monitors the progress of the HR replenishment requests until goods are delivered. Updates the ADR in CIDNE as changes occur (funds disbursed, percentage complete (if partial shipments received), etc.) Prior to re-deployment, ensures a new Project Manager (PM) is appointed for the yard. Provides the new Project Manager (PM) a progress report on each open order, to include project number, funds allotted, funds disbursed, projected delivery date, and any necessary contact information for all vendors and the RM Office.

b. The Project Manager (PM) shall maintain an operational file, which will be organized in the following sequence. **NOTE**: These can be hard copy or electronic files.

1) **Tab 1:**

a) Copy of the pre-determined list of stock items and levels

b) The approved list of vendors

c) Copy of the most current inventory log *(must be uploaded weekly to the USFOR-A J9 SharePoint)*

2) **Tab 2:**

a) Project Manager (PM)'s DD Form 577 and training certificate

b) PO's DD Form 577 and training certificate

c) PA's DD Form 577 and training certificate (if applicable)

3) **Tab 3:**

a) A log of all HR requests processed and the date the requestor received the items.

b) A log of all HR replenishments processed and the date the shipments were received.

c) If the yard is making cash payments to vendors, a trained PA is required. For EFT payments, a PA is not required. A PA must receive his/her delegated authority from a Disbursing Officer. Please see your local Finance Office for more details. Only USG personnel can be appointed as PAs and must be the rank of E-7 or above (or civilian equivalent). This responsibility can be delegated down to an E-6 by the JSC-A Commander (or JSC-A Chief of Staff,

if delegated), if current manning precludes the yard from meeting the grade requirement. **NOTE**: A PA cannot be the recipient of the goods.

d) A PPO must receive his/her delegated contracting authority from the nearest Regional Contracting Command (RCC). Only USG personnel can be appointed as PPOs and must be the rank of E-6 or above (or civilian equivalent). The Project Officer:

1. Must comply strictly with all provisions of his/her appointment, governing regulations, and this SOP.

2. Must follow standards of conduct as prescribed in DoD 5500.7-R, *Joint Ethics Regulation*.

3. Cannot re-delegate the contracting authority.

4. Completes DD Form 1155s and orders goods less than $500K. For orders $500K or greater, a warranted Contracting Officer must be used.

5. Ensures fair competition by rotating vendors on the approved vendor list.

6. Monitors the shipments until the final shipment has been received.

7. Prepares the DD Form 250 for the Project Manager (PM)'s validation and signature.

8. Works closely with the Project Manager (PM).

D. Prohibited Purchases: Reference Chapter 1 for a list of unauthorized uses of CERP. When in doubt, call the local Resource Management (RM) Office.

E. HR CERP Replenishment Procedures:

1. Each yard will have a pre-determined list of stock items, levels, and vendors approved by the Joint Sustainment Command-Afghanistan (JSC-A). The HR NCOIC for each yard is responsible for determining the HR Yard stock levels for their respective yards, which should be based off historical distribution rates. The maximum stock levels of supply at each yard should not exceed 60 days. Any deviation from this list must be routed through JSC-A for approval prior to procurement. A copy of this list will be submitted to USFOR-A J9 quarterly.

2. Each yard will have a dedicated Project Manager (PM) and Project Purchasing Officer (PO) appointed, on a DD Form 577, by the JSC-A

Commander. (**NOTE**: *This authority can be delegated, in writing, to the JSC-A Chief of Staff*). If making cash payments to the vendors, the yard will have a trained Paying Agent (PA) appointed, on a DD Form 577, by the JSC-A Commander (*or JSC-A Chief of Staff, if delegated*). The Project Manager (PM), PPO, and PA will not be the same person. **NOTE**: The PPO **cannot** be the Property Book Officer or the Property Accountable Officer.

3. In order to process a HR replenishment request, the HR Yard's Project Manager (PM) must first initiate the requirement as a CERP project in CIDNE *(see Section 5).* This action will open an ADR CERP Project which generates a HR Identification Number specific to the replenishment.

4. Once the ADR has been completed and published in CIDNE, the Project Manager (PM) will print out the ADR and process it, along with a Letter of Justification (LoJ) (*signed by the JSC-A CoS, if the ADR is greater than $50K*), the draft PR&C, and the draft DD Form 1155, *Order for Supplies and Services*, for legal review and approval by the appropriate approval authority. **NOTE**: A separate ADR is required for each vendor and/or DA Form 3953 (PR&C). *(Reference DoD FMR 7000.14-R, Volume 10, Chapter 8, on how to properly complete the DD Form 1155).*

5. The appropriate approval authority will be responsible for signing the last page of the ADR and block 35 of the DA Form 3953 (PR&C).

6. If the total amount of the ADRs being processed for approval exceeds $200K, then the requests must be submitted to the next highest level of approval authority for review at the appropriate level. For example, if the Project Manager (PM) is processing four separate ADRs for $150K (total $600K), the nomination package must be submitted to the USFOR-A CERP Review Board for review and approval by the USFOR-A CoS prior to the commitment of funds.

7. The following documentation is required per project file and must be uploaded to CIDNE and maintained electronically (*or in hard copy*) by the Project Manager (PM):

8. HR Replenishment Packet:

   a. Completed Project File Checklist *(see Section 5)*

   b. Signed ADR

   c. Signed Letter of Justification (*if greater than $50K*)

   d. Legal review

   e. Certified DA Form 3953 (PR&C)

f. Funding increase memorandums (*as applicable*)

g. Current Inventory Log

h. Signed DD Form 1155

i. Signed DD Form 250(s)/SF Form 44(s) (*cash payments only*)

j. Signed SF Form 1034(s)

k. Signed project clearance letter *(signed by JSC-A CoS)*

l. ODS print-out endorsed by the RM Office

m. Transfer of Authority Document *(if applicable)*

Table 8.1
HR Yard Replenishment Thresholds

Item	Limit	Approval Authority	Legal Review Required
HR Yard Replenishment	Up to $2M	USFOR-A DCDR-S	Yes
HR Yard Replenishment	Up to $1M	USFOR-A(S) CoS	Yes
HR Yard Replenishment	Up to $500K	JSC-A Cdr (or delegated authority)	Yes
HR Supplies Requests	HR requests follow the same approval thresholds as CERP projects	HR requests have the same approval authorities as CERP projects	Yes

F. The JSC-A Commander has authority to approve CERP replenishment requests for the Humanitarian Relief Yards at Bagram Air Field (BAF) and Kandahar Air Field (KAF) up to $500K.

1. The JSC-A Commander has the authority to delegate this approval threshold, in writing, down to the JSC-A Chief of Staff level for KAF and to the SBDE Commander for BAF, as he sees fit.

2. Delegation letters must be maintained on file at USFOR-A J8, USFOR-A J9, the HR yards, and the BAF and KAF Resource Management (RM) Offices.

3. All Humanitarian Relief requirements greater than $500K will be submitted to the USFOR-A DCDR-A CERP Review Board and approved at the appropriate level prior to the commitment of funds.

G. Funding and Vendor Payment Procedures:

1. To request funding, the Project Manager (PM) will submit an approved DA Form 3953 (PR&C), with supporting documentation, to the servicing RM Office for a line of accounting, funds certification, and reservation of funds. **NOTE**: For each vendor, a separate DA Form 3953 (PR&C) and ADR is required. Block 35 of the DA Form 3953 (PR&C) can only be signed by a USG employee.

2. Once the RM Office has certified the DA Form 3953 (PR&C), the Project Manager (PM) will change the project status in CIDNE to “In Progress.”

3. Once the Project Manager (PM) has provided the certified document to the PPO, the PPO has the authority to sign the DD Form 1155 and place the order with the vendor. The Project Manager (PM) and PPO must ensure they do not exceed the monetary limitation on the certified DA Form 3953 (PR&C).
4. The Project Manager (PM) will then submit a copy of the DD Form 1155 to the RM Office for funds obligation and change the project status in CIDNE.

5. Once the goods have been received, the vendor must provide an invoice to the PPO, who will validate all goods ordered are listed on the invoice and have been received. The PPO will then prepare the DD Form 250, *Material Inspection and Receiving Report*. *(Reference DoD FMR 7000.14-R, Volume 10, Chapter 7, paragraph 070201 for criteria for a proper invoice.)* **NOTE**: For cash payments, the PPO will complete an SF Form 44 in lieu of a DD Form 250.

6. The Project Manager (PM) will reconcile the DD Form 250 and the vendor's invoice with the DD Form 1155 to ensure there were no fluctuations in the prices or quantities ordered and delivered. Once validated, the Project Manager (PM) will sign blocks 21b and 22 of the DD Form 250 accepting the goods received. **NOTE**: For cash payments, the Project Manager (PM) will sign as the receiver of the goods.

7. The Project Manager (PM) will then submit copies of the DD Form 1155, DD Form 250, and the vendor's invoice to the local Finance Office to process the EFT payment. The Project Manager (PM) will maintain a copy of the signed transmittal letter showing the documents were delivered to the Finance Office for payment.

   a. Payments to individuals are strictly prohibited.

   b. Payments will only be in Afghani. U.S. dollars are no longer authorized.

8. Once the Finance Office has processed the EFT payment, they will send a copy of the SF Form 1034 to the RM Office and Project Manager (PM).

9. Upon receipt of the disbursement documents, the Project Manager (PM) will ensure all documentation is accounted for in the CERP Project File. Once the HR replenishment has been completed, and all outstanding bills paid, the Project Manager (PM) will close the project in CIDNE by completing the "Project Closure" section and changing the "Project Status" to "Completed." The Project Manager (PM) will also enter any final disbursements. If funds were de-obligated, then CIDNE should be updated accordingly.

10. The JSC-A CoS is required to review the project file, all disbursement vouchers, and supporting documentation. After review, the JSC-A CoS will issue a project clearance memorandum to the Project Manager (PM) stating: "*I have reviewed and approved the project file in the amount of $<enter HR replenishment total>. It is accurate and complete and it adheres to the guidelines set forth in the current USFOR-A CERP SOP and applicable FRAGOs.*" The JSC-A CoS will then sign the ADR, which shows the project status as "Completed" and has a completed "Project Closure" section. The Project Manager (PM) will add the project clearance memorandum and the signed, completed ADR to the project file and upload it to CIDNE.

11. The Project Manager (PM) will then submit the completed project file to the RM Office for review and reconciliation. The RM Office will take appropriate action, based on the project file, to clear all un-liquidated obligations (ULOs) in the accounting system.

12. The Project Manager (PM) is responsible for making corrections or providing memorandums explaining lost or illegible documents endorsed by either the JSC-A CoS or BAF's SBDE Commander.

13. After receiving all the required documentation in the project file, the RM Office must provide a print-out of the document from ODS showing the project has been cleared in the accounting system. At the bottom of the ODS print-out, the RM Office must add the following statement: "*CERP Project # (add 14-digit CIDNE number) has been cleared and properly recorded in the accounting system*." The RM Office will then endorse the ODS print-out. A copy of this endorsed print-out will then be placed in the project file and uploaded to CIDNE.

14. The project is now closed.

H. Legal Review

1. A legal review by the local SJA office is required for every HR request and replenishment effort. The legal review must specify how the request or replenishment is within the guidelines of CERP and not prohibited by DoD FMR 7000.14-R, Volume 12, Chapter 27.

2. A copy of the legal review will be submitted to the appropriate approving authority and the RM Office with every DA Form 3953 (PR&C) and will be attached to each HR Yard ADR or HR in CIDNE.

I. Inventory Management of Nearly Expired CERP HR:

1. A new program is available for perishable HR CERP items that are within a 60-day window of expiration. Rice, Beans, Cooling Oil, Salt, Flour, Sugar and Tea are considered perishable foods that have a limited shelf life. When these items are determined to be within a 60-day window of expiration, the HR Yard will make them available on a first-come-first-serve basis for units to use in their HR programs. JSC-A J9 will send a notification to the Stability Operations of each Regional Command, apprising them of the availability of certain items.

2. Requesting units must distribute the items within 30 days of receipt. The request process will be the same as requesting HR CERP items in CIDNE.

Figure 8.2:
Example of HR Replenishment Request ADR from CIDNE

ADR (CERP) Project Report

CLASSIFICATION:	UNCLASSIFIED	**RELEASABILITY:**	FOR OFFICIAL USE ONLY
PROJECT NUMBER:	20090805110700 (automatically generated)		
PROJECT TITLE:	KAF HA Yard--Replenish stock		
DESCRIPTION:	KAF HA Yard—the following stock items need to be replenished: coal, tool kits, and dental kits. The KAF HA Yard was established in order to respond more expeditiously to humanitarian assistance requests in RC-S and RC-W. The HA Yard ensures supplies and materials are on-hand and available for distribution immediately following/during a natural disaster or emergency. The availability of supplies allows the USG to act quickly to the urgent humanitarian requests of GIRoA and UNAMA (or other aid organizations) to relieve human suffering and save lives.		
CERP PROJECT CATEGORY:	Other Urgent Humanitarian or Reconstructive Projects	**PROJECT STATUS:**	
STRUCTURE TYPE:		**PRIORITY LEVEL:**	Routine
ADR PROJECT CATEGORY:	Other Urgent Humanitarian or Reconstruction	**AIMS PROJECT CATEGORY:**	Emergency Assistance
AIMS CATEGORY DESCRIPTION:	Emergency Program, Support Services		
COMMAND:	Regional Command-South	**CONTRACTOR:**	
UNIT PPO:	Name of PO	**UNIT/ORG MAKING PROPOSAL:**	
FUNDING SOURCE:	FY10 CERP	**ESTIMATED COST (USD):**	120,600.00
PAY AGENT:	Input Finance Office's office symbol (i.e. 230th FMCO)	**EFT PAYMENT:**	Mark "Yes" if using EFT payments
PLANNED START:	Date PO plans to place the order	**PLANNED END:**	Estimated date the goods will be delivered
PLANNED FINANCE DATE:	Date the funds need to be provided	**ACTUAL FINANCE DATE:**	
APPROVED THROUGH PDP:	No	**COORDINATED WITH GIROA:**	No

Must match the CERP Checkbook.

Update accordingly. List the items being purchased against this ADR. The Description section must match the CERP Checkbook.

Prior to approval, the project status is Nominated.

If using cash payments, input the trained PA's name/rank and the EFT payment will state "No."

Update accordingly.

Figure 8.2
Example of HR Replenishment Request ADR from CIDNE (cont.)

PROJECT COMMENTS: Input Name of the PM

Financial Information	
To be completed, once funds are obligated	
AMOUNT ALLOCATED (USD):	**AMOUNT SPENT (USD):**
S44 CLEARED AMOUNT (USD):	**PERCENT SPENT:**
LAST PAYMENT DATE:	

Lines of Operation

Location Data			
MGRS:	41RQQ7171087894	**LATITUDE (DMS):**	31.4939757175
		LONGITUDE (DMS):	65.860452635
PROVINCE:	Kandahar	**MSC:**	RC SOUTH
DISTRICT:	Kandahar	**AO:**	TFK
CITY:			
DESCRIPTION:	KAF HA YARD		

MGRS of the Yard that is ordering the supplies.

Figure 8.2
Example of HR Replenishment Request ADR from CIDNE (cont.)

Performance Metrics

Update accordingly.

Problem Statement

HOW DOES THIS PROJECT SATISFY AN URGENT, CHRONIC, OR ACUTE HUMANITARIAN NEED:

The replenishment of the HA Yard at KAF ensures supplies and materials are on-hand and available for distribution immediately following a natural disaster or emergency. The availability of supplies allows the USG to act quickly to the urgent humanitarian requests of GIRoA and UNAMA (or other aid organizations) to relieve human suffering and save lives.

When household goods are lost due to a flood, fire, earthquake, or the act of war, coal is required to provide heat for cooking and to keep warm, tool kits are required for self-help projects and to construct/re-construct/repair shelters, and finally, dental kits are required for personal hygiene.

Immediate Benefit To The Local Population

HOW WILL THE UNIT BE ABLE TO MEASURE THE SUCCESS OF THE PROJECT:

Success will be measured by the amount of humanitarian requests fulfilled and the amount of humanitarian assistance provided. See HCA roll-up for requested versus delivered assessments.

Sustainability Of The Project

HOW DO WE PLAN TO MAKE IT LAST:

Other

EXPLAIN WHICH MINISTRY, ORGANIZATION, LEADERS, OROTHER GROUPS WILL BE SUSTAINING THIS PROJECT:

The HA Yard stock is maintained in order to quickly respond to GIRoA and UNAMA's urgent humanitarian requests when natural disasters occur within the country of Afghanistan. The HA yard maintains the supplies until distribution.

Stability Of Local Partner

HAS THE PROJECT PROPOSAL BEEN COORDINATED WITH:

GIROA	No	**IF YES, POC**
PRT	No	**IF YES, POC**
OTHER AGENCIES IN THE AOR	No	**IF YES, POC**
LOCAL POPULATION	No	**IF YES, POC**

WHO WILL THE PROJECT BE TRANSFERRED TO IN THE AFGHAN GOVERNMENT:

HA Yard stock is not transferred to GIRoA or UNAMA (or other aid organizations) until an official humanitarian assistance request has been received.

HAVE THE LOCAL LEADERS OR PROVINCIAL MINISTERS IDENTIFIED THIS AS A PRIORITY:

0

Number Of Local Population Engaged In The Project

HOW MANY LNS ARE INVOLVED IN THE EXECUTION OF THE PROJECT? NUMBER OF PEOPLE EMPLOYED:

0-50

Figure 8.2
Example of HR Replenishment Request ADR from CIDNE (cont.)

Number Of Local Benefiting

ESTIMATED NUMBER OF LOCALS WHO WILL BENEFIT FROM THIS PROJECT:
Greater than 200

WHAT ARE THESE PRIMARY AND SECONDARY BENEFITS:
The primary benefit is the availability of HA inventory facilitating the immediacy of HA supply distribution when a natural disaster or emergency occurs. The secondary benefits are (1) the benefit to the indigenous populace who receive these humanitarian assistance supplies and (2) the yard allows for PRTs and Task Forces to quickly tap into these resources during/immediately following a natural disaster/emergency without having to store or maintain HA supplies on their FOBs and COPs.

Executability Of The Project

HOW LONG WILL THIS PROJECT TAKE TO COMPLETE:
<1 Month

ARE THERE ANY RESTRICTIONS TO THE TIME-FRAME FOR BUILDING OR EXECUTION:
0

WILL WEATHER EXPECTED TO BE A FACTOR:
0

IS SECURITY EXPECTED TO BE A FACTOR:
0

WILL THERE BE ANY CHANCE OF THE CONTRACTOR NEEDING EXTRA SERVICES TO COMPLETE ON TIME:
0

IF YES WHAT ARE THEY:

Relations To Other Similar Efforts

HOW DOES THIS FIT IN TO THE OVERALL PLAN FOR THE PRT IN THIS SECTOR:
Will meet urgent needs in community

EXPLAIN RESPONSE ABOVE, OR PROVIDE ADDITIONAL RELATIONSHIPS TO SIMILAR EFFORTS:
Humanitarian assistance is only provided at the request of GIRoA and/or UNAMA (or other equivalent aid organizations). UNAMA has spent years building capacity within GIRoA, so they can respond quickly, efficiently, and effectively to natural disasters/emergencies in order to assist the local populace. USG HA supplies/materials are meant to assist GIRoA in meeting their goals of developing a sustainable government and instilling trust and confidence among the Afghan people. Distribution will be made through GIRoA and/or other aid organizations in an effort to put an Afghan face to the assistance.

Figure 8.2
Example of HR Replenishment Request ADR from CIDNE (cont.)

Project Closure

REASON FOR CLOSURE:
PROJECT RESULTS:

To be updated, once all the goods have been received and the vendor has been paid in full.

ADR Prohibited Uses

IF ANY ARE TRUE, THE PROJECT DOES NOT QUALIFY FOR ADR FUNDING.

BENEFIT THE US, COALITION, OR OTHER SUPPORTING PERSONNEL DIRECTLY OR INDIRECTLY?
PROVIDE GOODS, SERVICES OR FUNDS TO NATIONAL ARMIES, NATIONAL GUARD FORCES, BORDER SECURITY FORCES, CIVIL DEFENSE FORCES, INFRASTRUCTURE PROTECTION FORCES, HIGHWAY PATROL UNITS, POLICE, SPECIAL POLICE, INTELLIGENCE, OR OTHER SECURITY FORCES?
QUALIFY AS A WEAPONS BUY BACK PROJECT (EXCEPT AS AUTHORIZED BY LAW AND SEPARATE IMPLEMENTING GUIDANCE, WEAPONS BUY BACK PROGRAMS, OR OTHER PURCHASES OF FIREARMS OR AMMUNITION)?
PROVIDE ENTERTAINMENT?
PROVIDE A REWARD PROGRAM?
PURCHASE FIREARMS, AMMUNITION, OR FUND THE REMOVAL OF UNEXPLODED ORDINANCES?
DUPLICATE SERVICES AVAILABLE THROUGH MUNICIPAL GOVERNMENTS?
PROVIDE SALARIES, BONUSES, OR PENSIONS OF HOST NATION MILITARY OR CIVILIAN GOVERNMENT PERSONNEL?
TRAIN, EQUIP, OR PROVIDE OPERATING COSTS OF HOST NATION SECURITY FORCES?
CONDUCT PSYCHOLOGICAL OPERATIONS, INFORMATION OPERATIONS, OR OTHER US, COALITION, OR HOST NATION SECURITY FORCE OPERATIONS?
SUPPORT INDIVIDUAL OR PRIVATE BUSINESS?
CO-MINGLE CERP AND OTHER FUNDS?

APPROVAL SIGNATURE BLOCKS

DATE:	**DATE:**
RECOMMENDED FOR APPROVAL (CHECK):	**RECOMMENDED FOR APPROVAL (CHECK):**
RECOMMENDED NO APPROVAL (CHECK):	**RECOMMENDED NO APPROVAL (CHECK):**
SIGNATURE BLOCK:	**SIGNATURE BLOCK:**
Input the Signature Block of the PM.	Input Signature Block of either the JSC-A CoS or BAF's SBDE Commander
OFFICE/UNIT:	**OFFICE/UNIT:**

This section must be signed by the appropriate offices for project approval and at project completion.

Figure 8.3
HR Request/Distribution Excerpt from CIDNE

1. To initiate a HR Request/Distribution Report in CIDNE, go to the "Workflow" dashboard.

2. Then, in the drop-down menu next to "Draft New," choose "Transition: Humanitarian Relief Report."

3. The below screen will appear.

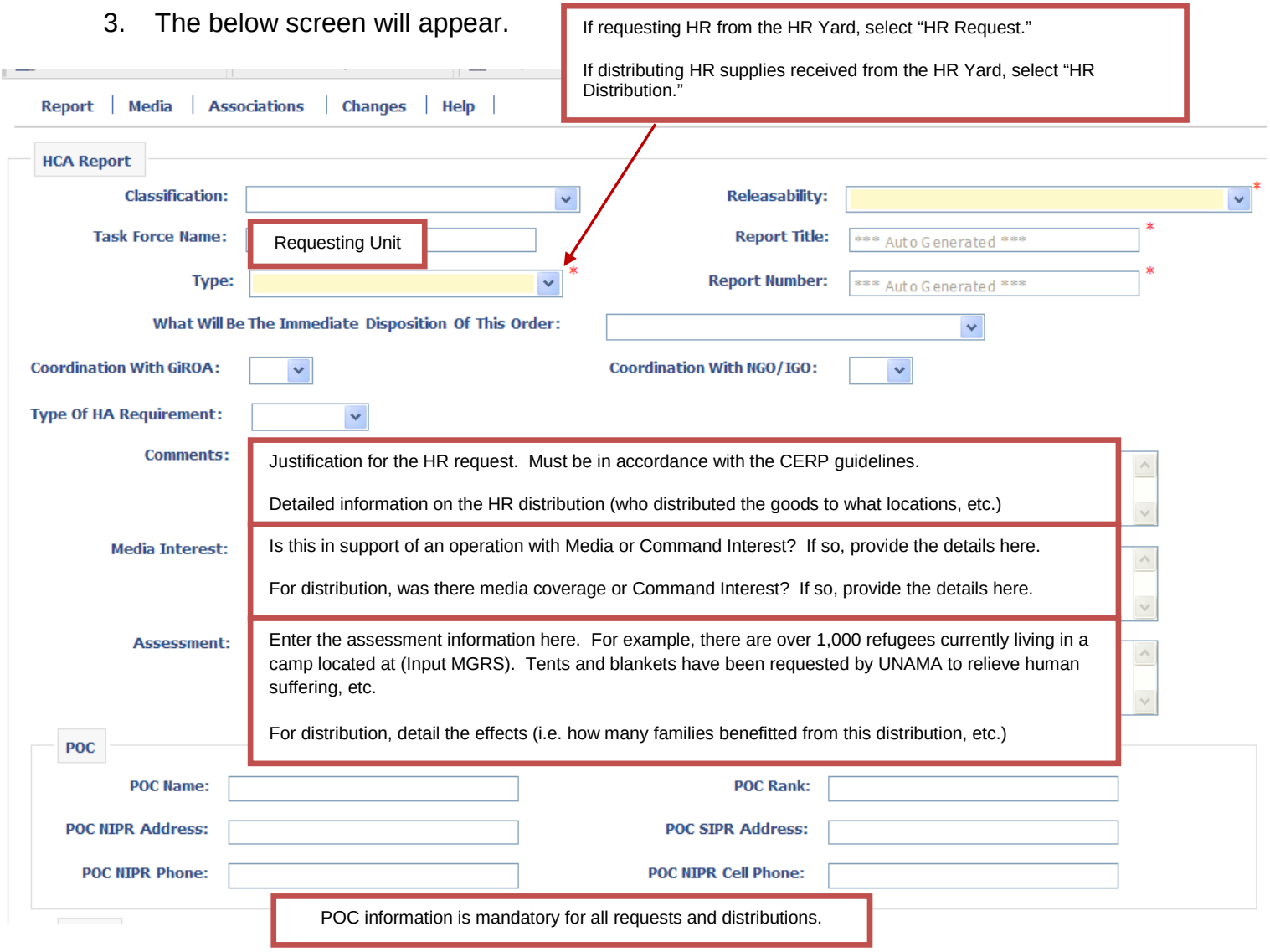


Figure 8.3
HR Request/Distribution Excerpt from CIDNE (cont.)

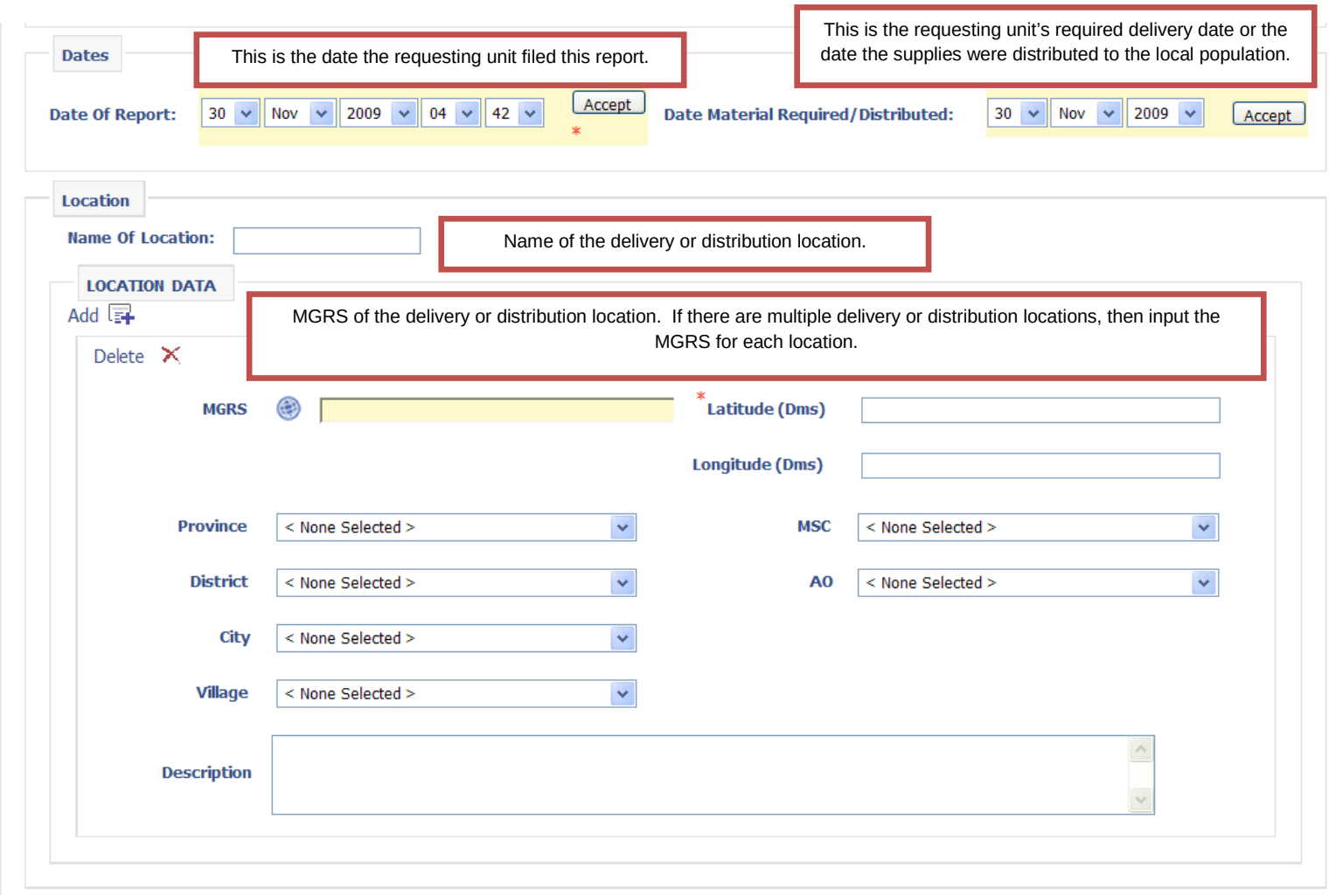


Figure 8.3
HR Request/Distribution Excerpt from CIDNE (cont.)

For each item requested/distributed, input the amount of the item requested/distributed (the weight will be automatically calculated for you).

Comfort

	Requested/Distributed		Delivered (HA Yard Only)	
	Amount	Total Weight (Kg)	Amount	Total Weight (Kg)
25 Kg/Bundle Dental Kits:	0	0	0	0
21 Kg/Bundle Hygiene Kits:	0	0	0	0
15 Kg/Bundle Teacher Kits:	0	0	0	0
15 Kg/Bundle Student School Kits:	0	0	0	0
11 Kg/Bundle First Aid Kit:	0	0	0	0
60 Kg/Kit Tool Kit:	0	0	0	0

To be used by the HR Yards only. It reflects what was actually shipped.

HA Yard Only

Date Order RCVD/Processed: 30 Nov 2009 Accept

Yard Load Date: 30 Nov 2009 Accept

Estimated Delivery Date: 30 Nov 2009 Accept

MCT / Host Nation TMR#:

Total Weight Requested (Kg): 0

Number Of Trucks Required:

Total Weight Delivered (Kg): 0

Total Weight Requested (Lbs): 0

Total Weight Delivered (Lbs): 0

To be used by the HR Yards only. The HR Yards will complete this section when the supplies are shipped. The requesting unit can use this information to track the shipment.

This section is not used for distributions.

For HCA requests, before submitting this form to the HR Yard for processing, the requesting unit must upload the letter of justification, the GIRoA request for U.S. military support, and the legal review to the Media Tab. The requesting unit should also add an association to any CMO reports or KLEs documented in CIDNE that relate to this request.

For HCA distribution, the requesting unit should upload any storyboards or pictures to the Media tab. Also, the requesting unit should add an association to any CMO reports or KLEs documented in CIDNE that are related to the distribution of the HR supplies.

Figure 8.4
HR Yard Replenishments Checklist

CIDNE PROJECT #: _____
LOCATION: _____
AMOUNT ($):_____

The Project Manager (PM) is responsible for maintaining all project documentation and uploading it to CIDNE. Required documentation is indicated below and is mandatory unless stated otherwise. Checklist items 2-8 are required for project nomination to the USFOR-A CERP Review Board.

1. Completed CERP Project File Checklist

2. Letter of Justification (signed by the appropriate authority level Commander)

3. Afghan Development Report (ADR) (Including Performance Metrics and grids, in CIDNE, and **signed** by appropriate approving official)

4. Funding Document and Funds Increase Memorandums (DD Form 3953, Purchase Request & Commitment (PR&C))--with proper signature blocks, and it must include project title, project number, and valid Project Manager (PM) and PPO name (as applicable).

5. Current Inventory Log

6. DD Form 1155, *Order for Supplies and Services,* (draft required for project nomination (if less than $500K); signed DD Form 1155 required for project file records after approval) (with appropriate signatures)

7. Legal Review(s) (Required for all HR replenishments)

8. Appointment Records (DD Form 577) & Training Certificates (Project Manager (PM) and PPO) (see Project Manager (PM)'s operational file)

9. Payment Documents

   a. SF Form 44(s) (for cash only)
   b. DD Form 250(s) (for EFTs)
   c. SF Form 1034(s)

PAYMENT # (circle)							
1	2	3	4	5	6	7	8
1	2	3	4	5	6	7	8
1	2	3	4	5	6	7	8

10. Project Clearance Letter and RM Office endorsed ODS print-out

11. Transfer of Authority Document (for RIP/TOA) (required for orders not received prior to RIP/TOA)

12. Final Project Report (This report articulates when the goods were received and the payment voucher (SF Form 1034) number. This can be documented in the *Project Closure* section of the ADR.)

Figure 8.5
HR Yard Request/Distribution Checklist

CIDNE HCA #: _____
LOCATION: _____
TOTAL WEIGHT (kg): _____

The requesting unit is responsible for maintaining all project documentation and uploading it to CIDNE. Required documentation is indicated below and is mandatory unless stated otherwise.

1. Completed CERP Project File Checklist

2. Letter of Justification (signed by the appropriate authority level Commander)

3. Humanitarian Relief Request from GIRoA (translated into English and uploaded into CIDNE), UNAMA, or other equivalent aid organizations

4. Humanitarian Relief Report (HCA) from CIDNE (completed for both the HCA request and distribution)

5. Legal Review (Required for all HR requests)

6. Storyboard Slide (for HR distribution only)

7. CMO and/or KLE Reports related to the HR request or distribution (documented in CIDNE and associated to the Humanitarian Relief Report)

8. Transfer of Authority Document (for RIP/TOA) (required for requests not received or distributions not made prior to RIP/TOA)

9. Final Project Report (for HR distribution only). (This report articulates if and how the project met its goals and the desired effects. This can be documented in the *Assessments* section of the Humanitarian Relief Report.)

Figure 8.6
HR Yard Letter of Justification

HEADQUARTERS

UNITED STATES FORCES-AFGHANISTAN

KABUL, AFGHANISTAN

APO AE 09356

<UNIT> <Date>

Input unit letterhead and nominating Unit/Date

MEMORANDUM FOR Commander, Joint Sustainment Command--Afghanistan, Kandahar Air Field, OPERATION ENDURING FREEDOM, APO AE 09355

Insert HCA number as it appears in CIDNE

SUBJECT: Letter of Justification for Humanitarian Relief Request < CIDNE HCA #>

1. PURPOSE: This should be a short description of the natural disaster, emergency situation, or urgent humanitarian need we are being requested to support.

2. REQUIREMENTS: List the supplies and/or equipment we have been requested to provide.

3. JUSTIFICATION: How will these supplies and/or equipment benefit the local population and how will they support our desired effects (this is the projected goal and should not be confused as a benefit to coalition forces). The justification should clearly articulate how the project meets the URGENT AND IMMEDIATE HUMANITARIAN RELIEF standard for CERP projects and the category the project falls within. The statement: *"Reasonable measures have been taken to ensure that other aid funds (local, national, donor nation, non-government organizations (NGO), or other aid resources) are not available"* should be inserted into this justification.

3. COORDINATION: All projects must be coordinated with the proper GIRoA and United Nations aid organization(s). The coordination that has taken place should be listed here. The outcome of the coordination and anything that the local, provincial, or national government has committed to this effort shall also be included. This section should also include a summary of our exit strategy defining how we plan to achieve a civilian response in the future.

4. WHEN SUPPLIES/EQUIPMENT ARE REQUIRED: This should give a deadline for when supplies/equipment need to be delivered to the unit in order to meet the urgent, humanitarian need.

Should match CIDNE

6. LOCATION: Include Province, District, City and an 10-digit grid coordinate (MGRS) if applicable.

7. LOCAL NATIONAL BENEFIT: List the number of local Afghans projected to benefit from these humanitarian relief supplies and/or equipment.

9. PERFORMANCE METRICS: How will we be able to measure the success of this assistance?

10. IMPACT IF NOT FUNDED: Possible negative outcomes if the humanitarian relief is not provided.

11. POINT OF CONTACT: All contact information of the individual who will answer questions that arise during the staffing process.

Insert the proper signature block of the Commander (cannot be delegated to the Deputy or below)

Insert Unit Designator for the next level of approval.

O-5 LEVEL U.S. COMMANDER'S (OR ABOVE) SIGNATURE BLOCK

1st Ind, O-6 level U.S. Commander

MEMORANDUM FOR Commander, USFOR-A

Insert final approval authority

I support this request and concur with its approval.

Insert the proper signature block of the Commander (cannot be delegated to the Deputy or below)

Insert Unit Designator for the next level of approval.

O-6 LEVEL U.S. COMMANDER'S (OR ABOVE) SIGNATURE BLOCK

2nd Ind, MSC U.S. Commander

MEMORANDUM FOR Commander, USFOR-A

Insert final approval authority

I support this request and concur with its approval.

Insert the proper signature block of the Commander (cannot be delegated to the Deputy or below)

MSC U.S. COMMANDER'S (OR ABOVE) SIGNATURE BLOCK

MAAWS-A ANNEX CHAPTERS

1. **ANNEX A: CERP CATEGORY DEFINITIONS AND POTENTIAL PROJECTS**
2. **ANNEX B: PROGRAM MANAGER GUIDE**
3. **ANNEX C: PROJECT MANAGER (PM) GUIDE**
4. **ANNEX D: PROJECT PURCHASING OFFICER (PPO) GUIDE**
5. **ANNEX E: CFSOCC-A CERP EXECUTION**
6. **ANNEX F: CERP PROJECT APPROVAL**
7. **ANNEX G: SUPPLEMENTAL CERP FORMS**
8. **ANNEX H: PROJECT CLOSEOUT**

ANNEX A. CERP CATEGORIES

Agriculture/Irrigation: Small-scale projects to increase agricultural production, including:

- Wind breaks for fields
- Pesticide control for crops
- Animal husbandry practices
- Veterinary clinics, supplies, and care of animals
- Seeds for planting
- Fertilizer
- Purchase of initial, parents livestock for herds
- Animal health
- Aquaculture
- Fish farms
- Purchase of farm equipment or implements
- Irrigation wells
- Irrigation ditches
- Canal cleanup
- Water pumps
- Siphon tubes
- Terracing
- Sprinkler irrigation
- Dust suppression
- Central pivot irrigation
- Sub-irrigation
- Agricultural Training Facilities and Demo-Farms

Battle Damage Repair: Projects to repair or make payments for repairs of property damage that occurred as a result of U.S. military operations and is not compensable under the Foreign Claims Act. These payments also cover damage sustained as a result of hostile actions directed toward U.S. forces (i.e., indirect fire, Improvised Explosive Devices, and small arms fire only when it is clear that the individual paid had no involvement in planning or executing the attack). Payments are limited to a maximum of $5,000 total to an individual (O-5 Commander up to $2.5K; O-6 Commander up to $5K). This amount may be increased up to $7,500 by exception with the approval of the senior U.S. commander in the Regional Command.

Civic Cleanup Activities: Small-scale projects to clean public areas when required for urgent health and safety purposes, including:

- Streets, roads
- Demolition of old buildings/structures

- Trash removal

Civic Support Vehicles: Projects to purchase or lease vehicles for public/government use in support of urgent civic and community activities, including:

- Construction vehicles for urgently required public works
- Water and trash trucks
- Ambulances
- Fire trucks

Condolence Payments: Payments to individual Afghan or Iraqi civilians, or surviving relatives residing in Afghanistan or Iraq, for death or physical injury, not compensable under the Foreign Claims Act, that occurred as a result of U.S. military operations. These payments also cover damage sustained as a result of hostile actions directed toward U.S. forces (i.e., indirect fire, Improvised Explosive Devices, and small arms fire only when it is clear that the individual paid had no involvement in planning or executing the attack). Payments are limited to a maximum of $5,000 total per individual injured or killed (O-5 Commander up to $2.5K; O-6 Commander up to $5K). This amount may be increased up to $7,500 with the approval of the senior U.S. commander in the Regional Command.

Education: Small-scale projects to build, repair or improve schools or to purchase school supplies or equipment, including:

- Build, repair, or improve schools (primary, middle, high, schools; colleges; trade schools and Centers of Educational Excellence or other technical/skills training centers)
- Tents for use as schools/classrooms
- School supplies, textbooks
- Furniture, desks, mats

Sports equipment (soccer balls/goals, etc.) for schools or school programs

Electricity: Small-scale projects to build, repair, or improve electrical production, distribution, and secondary distribution infrastructure. Cost analysis must be conducted to show that the electrical authority/company in the village or district can collect revenues to ensure operation and maintenance of the system for long-term use, including:

- Electrical production (solar, hydro, wind, and fossil) for villages and districts (not specific to individual government buildings or homes)
- Distribution of high and low voltage to villages and districts (not specific to individual government buildings or homes)
- Secondary distribution to individual buildings and homes

- Portable generators

Food Production & Distribution: Small-scale projects to increase food production or distribution processes, including:

- Food handling technology, including refrigeration, storage, warehousing, etc.
- Production, transportation, and supply logistics to facilitate distribution of food products
- Food labeling and packaging
- Food production safety
- Training for production and regulation of food

Governance: Small-scale projects to repair government buildings such as administrative offices, court houses, and district centers including:

- Repair or purchase urgently needed office equipment
- Repair non-U.S. jails, prisons or temporary holding facilities
- New Construction of temporary detainee facilities under current thresholds for MILCOM

Government and Small Business Capacity Building: Small-scale projects to support small businesses activities, including:

- Refurbishment of bazaars
- Small Business grants: electronic funds transfer or cash grants to small businesses, limited to a maximum of $5,000 per business.

Healthcare: Small-scale projects to build, repair, or improve infrastructure/equipment or to provide urgently needed medical/immunization supplies to health facilities, including:

- Construction/repair of clinics and hospitals
- Transportation for doctors in rural areas
- Transportation to and from hospitals for patients needing treatment who do not have transportation
- Transportation costs for local nationals admitted to a U.S. military hospital under existing Medical Rules of Eligibility who do not have a means of transportation once released to a local hospital or to return home
- Furnishings for clinics and hospitals
- Expendable medical supplies
- Durable and non-expendable equipment for medical facilities

Internally Displaced Person (IDP) Payments: One-time payment to facilitate transportation and/or subsistence for Afghans displaced by U.S. military operations. Payments are limited to a maximum of $500 total to an individual.

Other Urgent Humanitarian Projects: Small-scale humanitarian assistance projects not captured under any other category, including the following types of projects. Note: The approval level for bulk purchases of "stock" small, humanitarian supplies (such as for the "humanitarian yards" in Afghanistan) shall be based on a DA Form 3953 with an estimate of the needs for the entire fiscal year, including:

- Tents, tarps, plastic sheeting, and other temporary construction materials
- Blankets
- Clothes, shoes/boots, winter coats/gloves
- Hygiene and sanitation kits
- Subsistence food items (e.g., rice, bread, flour, tea, cooking oil)
- Stoves
- Coal, charcoal, wood or other locally available fuel for heat and cooking
- Temporary sanitation/ablution facilities

Protective Measures: Small-scale projects to build, repair, or improve protective measures to enhance the durability and survivability of a critical humanitarian infrastructure site, including:

- Fencing, berms, and barrier materials to provide stand-off protection
- Lights
- Guard Towers, Entry Control Point (ECP) packages that do not contain personal protective equipment or arms.

Repair of Civic & Cultural Facilities: Small-scale projects to repair or restore, but not construct, civic or cultural buildings or facilities, including:

- Religious buildings such as mosques or shrines
- Civic/community centers
- Women's centers

Telecommunications: Small-scale projects to repair, but not construct, urgently needed communications systems or infrastructure, including:

- Radio stations (including equipment purchase)
- Governmental communications systems (telephones, two-way radios, repeaters, antennas)
- Loudspeaker systems
- Landline point to point connections to connect systems

Temporary Contract Guards for CERP Projects: Temporary contract guards to protect CERP projects while they are being executed.

Transportation: Small-scale projects to build, repair, or improve urgently needed district and local routes, including widening, grading, erosion/flood mitigation, protecting culverts, and establishing/restoring links to primary highways, district centers, markets, health facilities, schools, and government services, including:

- Roads and drainage.
- Bridges, canals
- Traffic safety and control measures such as signs, lights, pedestrian crossings, traffic barriers/markers
- Equipment to improve or maintain local transportation networks

Water & Sanitation: Small-scale projects to build, repair, or improve local drinking water availability, to include purification and distribution, including:

- Wells (regardless of the end user, unless end users are security forces)
- Water pumps
- Water treatment facilities
- Production or distribution of potable water
- Establishing trash collection points
- Waste disposal sites
- Sewage treatment
- Retaining walls for flood prevention
- Dumpsters
- Public latrines
- Water testing

ANNEX B: PROGRAM MANAGEMENT GUIDE

1. PURPOSE
2. PROGRAM MANAGEMENT PROCESS
3. ROLE OF A PROGRAM MANAGER
4. PROGRAM MANAGER APPOINTMENT
5. TRAINING REQUIREMENTS

PURPOSE

A. The purpose of this Annex is to provide comprehensive information on the CERP Program Manager position.

PROGRAM MANAGEMENT PROCESS

A. Commanders will coordinate and determine projects needs with the local community, the GIRoA, civil affairs elements, Agribusiness Development Teams (ADT), engineers, the Provincial Development Committees (PDCs), Provincial Reconstruction Teams (PRTs), and Regional Command (RC) Commanders to gain the greatest effect, ensure effective synchronization, guarantee Afghan acceptance with follow-on project maintenance and sustainment efforts as required. Such efforts may also include complementary programs provided by the U.S. Agency for International Development (USAID) and other non-governmental agencies operation in their AOR. This program is to be coordinated as follows:

1. Non-battle space owning U.S. Commanders must coordinate CERP projects (excluding condolence, battle damage, and Commander's Small-Scale projects) through the nearest PRT and Task Force for situational awareness and prioritization regardless of approval authority. Such coordination must be documented in the project file and can be in the form of a memo or email from the nearest PRT and Task Force

2. Legal reviews, by the local SJA, are required for all CERP projects, small business-grants, and humanitarian assistance requests. If the total cost of the project is less than $30K, SJA may provide a legal review in a memo, email, or by signing the ADR

3. Document the project cost and unavailability of other appropriate funds or inability to execute, and list the various sustainment or operating requirements identified during the project planning process. NOTE: This documentation will be noted in the Letter of Justification (when required) or in the Afghan Development Report (ADR). Other sources of funding may include:

    a. ISAF's Post Operations Emergency Response Fund (POERF)

b. Department of State funds

c. USAID funds

d. NGO funds

e. Donor funds

f. Afghan Security Forces Funding (ASFF)

g. International Narcotics and Law Enforcement (INL)

h. Combatant Commander's Initiative Fund (CCIF)

4. The USFOR-A Commander may delegate approval authority of projects less than $1M to subordinate unit commanders. Projects with an estimated cost of $1M or greater must be submitted to the USFOR-A CERP Review Board and be endorsed by the USFOR-A Commander or USFOR-A DCDR-S. Projects with an estimated cost of $1M or more must be approved by the USCENTCOM Commander prior to the commitment of funds. For projects greater than $5M, once endorsed by the USCENTCOM Commander will be forwarded to the OSC for final approval. Please note that there is a 15 day notification period.

5. After final approval, all CERP projects costing over $1.5M will be reviewed by the US Army Corps of Engineers

6. Commanders should develop a CERP plan and ensure projects are properly managed by the Program Manager to ensure CERP funds achieve maximum results, which includes establishing performance objective and monitoring progress. The commander's plan should address how CERP projects will be targeted and selected and also provide areas of focus within their battle space. Additionally, commanders should ensure CERP funds are commensurate with project accomplishments or performance metrics, and that projects are monitored and closed out properly upon completion, including the transfer of ownership to an appropriate Afghan authority prepared to sustain the project

7. For every CERP projects that a commander endorses, a corresponding CERP Project Manager (PM) and/or Project Purchasing Officer (PPO) must be assigned to each project by the Program Manager

8. There is one currency (Afghani) and four authorized methods of payment:

    i. Electronic Funds Transfer (EFT)

    ii. Limited Depository Checking Account (LDA)

    iii. Military Interdepartmental Purchase Request (MIPR)

iv. Cash (Afghani) via the SF Form 44

b. U.S. Dollars are not authorized to be used for CERP cash payments

c. The preferred method of payment is electronic funds transfer (EFT)

d. Waiver Requirements: If the Supplies and/or equipment are not available within Afghanistan and all sources of supply have been exhausted, an O-6 U.S. Commander or above, can authorize an EFT payment(s) in U.S. Dollars to a vendor located outside of Afghanistan. NOT: U.S. Dollar cash payments are unauthorized

e. All CERP projects should adhere to the Afghanistan First Program to the greatest extent possible. In other words, CERP should strive to directly support the local Afghan population, community, and economy

ROLE OF A PROGRAM MANAGER

A. CERP Program Managers are required for every O-5 U.S. Commander and above who is executing CERP Funds. CERP Program Managers serving at the battalion level or higher must be a primary duty as well as those serving at the battalion level. The Program Manager's duties entail managing the CERP program for the unit, ensuring regulations and policies are adhered, and reviewing all projects prior to approval to ensure that they are accurate, complete, measurable, and meet the Commander's intent. Additionally, the Program Manager ensures that the CERP project is in accordance with the CERP guidelines outlined in the DoD FMR 7000.14-R, Volume 12, Chapter 27. The Program Manager coordinates CERP requirements through the unit's functional staff and higher level command as applicable, and manages the unit's CERP budget, CIDNE database, and coordinates with the RM Office on the CERP Checkbook. The CERP Program Manager ensures that the unit's commitments and obligations do not exceed allocated funds and validates that the funds committed or obligated are only for the project for which they were approved. The Program Manager will ensure that the Project Managers (PMs) are maintaining and properly entering in complete project data into CIDNE and closing out projects in the correct fashion within CIDNE. Additionally, the Program Manager will conduct, or have USFOR-A J9 conduct, the 1 hour CERP refresher training semi-annually or as required for all appointed PMs and PPOs which will be documented by a sign-in roster and have certificates presented to all attendees. The CERP refresher training can be found on the USFOR-A J9 SharePoint page (reference Annex H for USFOR-A SharePoint Information and organization email box information). The CERP Program Manager is the liaison between the subordinate units and higher headquarters in relation to all CERP projects executed under the Commander's authority.

B. The Regional Command Program Manager is responsible for communication and being the liaison to the support and functional units that support their CERP program. The Program Manager must ensure that they communicate training requirements for their personnel with the servicing Finance Office and Regional Contracting Center as those requirements come up. The Program Manager is also the lead on providing information during turnover periods. Program Managers are responsible for ensuring that all functional are on the same page in terms of CERP on a monthly basis (engineering, legal, resource management, contracting, civil affairs, and finance)

C. Regional Command Program Managers are responsible for providing a CERP POC list for their organization, along with their CERP project monthly report, to USFOR-A J9.

D. Program Managers should partner with their local Public Affairs Office (PAO) to market and publicize selected CERP projects that reach completion in order to broadcast the CERP successes in their area of responsibility

PROGRAM MANAGER APPOINTMENT

A. CERP Program Managers are appointed by an O-5 level U.S. Commander or above utilizing the DD Form 577 appointment document

B. CERP Program Managers must be an E-7 (or civilian equivalent) or above

TRAINING REQUIREMENTS

A. CERP training brief provided by USFOR-A J9

B. DAU Contracting Officer's Representative training (CLC 106 and 206) and any additional training as mandated by the RCC Chief

C. DoD Combating Trafficking of Persons online training

D. Joint Ethics Regulation Training provided by the local Staff Judge Advocate

ANNEX C: PROJECT MANAGER (PM) GUIDE

1. STANDARDS OF CONDUCT
2. ROLE OF A PROJECT MANAGER
3. UCMJ AND PROHIBITIONS
4. SUBJECT MATTER EXPERTS
5. SPECIFIC REQUIREMENTS

STANDARDS OF CONDUCT

A. Due to the increased scrutiny of taxpayer's money in the theater of operations and more specifically, in the CERP program, the appearance of impropriety can give the Coalition Forces and our mission a negative image around the world. The Project Manager (PM)'s conduct and behavior shall be above reproach. PMs shall not solicit or accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan, or anything of monetary value from anyone in business or seeking business from the U.S. Government (USG). **(***Reference DoD 5500.7-R, Joint Ethics Regulation).*

ROLE OF A PROJECT MANAGER

A. Project Manager (PM) serves as the Commander's representative and Contracting Officer's Representative (COR) for each project assigned. The Project Manager (PM) is responsible for managing the project from cradle to grave. The Project Manager (PM) must manage the development, validation, approval, execution, closure/turnover of each project assigned. The Project Manager (PM), as the COR, is responsible for managing project contracts that are generated from assigned projects. PMs do not obligate the government, make payments or perform any other duties of the Project Purchasing Officer (PPO) or Warranted Contracting Officer (KO). The Project Manager (PM) serves as the liaison between the Commander, the PPO/KO, and the vendor and ensures each project is executed according to the signed contract and statement of work resulting in the desired delivery of goods or services. Both the Commander and Project Manager must consider number and complexity of projects under their span of control. Recognizing that complex projects require more project management capability and associated PM time increases the probability of success with intended outcome. Historical CERP analysis has shown that longer-term projects requiring multiple PMs throughout the lifecycle of the project have a significantly higher rate of failure. **Note:** A separate Contracting Officer's Representative (COR) may be appointed on a case by case basis to better meet the specific requirements of an individual project. Coalition personnel are now authorized to perform the duties of the COR on CERP projects, but they must meet all the necessary training requirements mandated for US government personnel.

UCMJ AND PROHIBITIONS

A. Should there be any injury, loss of life or property as a result of not performing the above with due diligence, the Project Manager (PM) as noted in this chapter can be subject to pecuniary and legal liability, to include UCMJ action.

B. Pecuniary and Legal Liability: PMs may be subject to pecuniary liability, and/or could face UCMJ action, for authorizing purchases prohibited by the DoD FMR 7000.14-R, Volume 12, Chapter 27, and this publication; or willfully and knowingly entering into contractual agreements with vendors. Only the PPO or the Contracting Officer can enter the USG into a contractual agreement.

C. When in doubt, contact the Resource Management (RM) Office or Regional Contracting Command.

SUBJECT MATTER EXPERTS

A. PMs (if unqualified) should seek engineering or contracting support to accomplish the following general duties:

1. Conduct a Quality Assurance (QA) Assessment and complete a sound Statement of Work.

2. Determine if the project is adequately designed before construction or installation. The Project Manager (PM), if not qualified, must consult a professional engineer (*does not need to be U.S.*) to ensure that the project design is adequate. Furthermore, the Project Manager (PM) can use CERP to fund proper project design if specifically required.

3. Determine if seismic standards need to be addressed. In certain areas of the country there is more seismic activity than others. The Project Manager (PM) must ensure the project follows seismic design standards when constructing buildings along the fault line or in other high risk areas. The Project Manager (PM), if not qualified, must consult with the project engineer to ensure the design and plan for the construction meets minimum seismic standards (International Building Code).

4. Determine if the construction or rehabilitation meets the standards of the design.

5. Determine if the contractor and the USG's quality assurance plan are adequate.

6. Determine the adequacy of the sustainment plan.

7. Determine if the project results are consistent with the original objective.

SPECIFIC REQUIREMENTS

A. Project Performance Metrics: Performance metrics are essential in ensuring CERP funds are being applied to projects that are truly beneficial and are achieving the desired objectives they have been set out to accomplish. Performance metrics must be included within the CIDNE ADR for all CERP projects that cost $50K or more. Performance metrics must be rolled into and included in the Project Manager (PM)'s Quality Assurance (QA) program for each project requiring performance metrics.

B. Quality Assurance (QA) Assessment:

1. The Project Manager (PM) is responsible for ensuring a QA assessment is conducted for all CERP projects greater than or equal to $50K. Each QA assessment will be added to the ADR as a new "update" (*reference Chapter 4 for CIDNE instructions*). During QA visits the Project Manager (PM) and/or the project engineer will inspect the goods or services delivered and the overall progress and quality of the vendor's work. During the QA visit the Project Manager (PM) or project engineer will note the quality of work being done, whether the goods and/or services delivered are in line with the Statement of Work (SOW), determine if there are any issues/delays, and determine how much of the work has been completed. The QA assessment will document periodic visits to the construction site and include:

   a. Date and weather.

   b. Determination of percent complete.

   c. Number of employees on the site.

   d. Brief description and photographic evidence of work underway (as applicable).

   e. Brief description of quality problems encountered, resolution plan, and follow up.

   f. What functional support attended the site on the visit with the Project Manager (PM); such as engineer, contracting officer, etc?

2. The Project Manager (PM) and project engineer (*if required for the project*) will schedule QA Assessment visits based on the SOW (and PMP for construction projects greater than $1M). The Project Manager (PM) should conduct QA visits throughout the project's execution cycle and schedule QA visits for each milestone or scheduled mark that is noted in the SOW/PMP. If your SOW/PMP says every 30 days 25% of the project will be completed, then the Project Manager (PM) should visit the site every 30 days to ensure that 25% of the project was actually completed during each 30 day period.

3. If the CERP project involves construction, a certified engineer is required to attend the QA visits with the Project Manager (PM). The engineer, being the subject matter expert, will ensure that the quality of the construction or work being done is to the standard set out in the SOW/PMP. **For construction projects, a minimum of 3 QA visits will be conducted during project execution,** however there may need to be more depending on the size, scope, and scale of the project. There will be a QA visit scheduled when 25%, 50%, and 100% of the work is to be completed or is supposed to be completed. These visits should be scheduled based on the dates annotated in the SOW.

4. The Project Manager (PM), while conducting the QA visits, must also observe, inquire on, and take note of the performance metrics that he/she identified at the outset of the project. The Project Manager (PM) will record updates on the identified performance metrics for that project and then upload the performance metric information into the CIDNE ADR.

5. The Project Manager (PM) is responsible for making QA visits to the project after it has been completed. **The Project Manager (PM) should make QA visits and note performance metrics 60 days, 120 days, and 365 after the project has been completed** to ensure that the project is being sustained and that the project is achieving the desired objectives. The information that is noted on these QA visits must be uploaded into the CIDNE ADR.

6. PMs must ensure that future QA visits that need to take place on projects are included and communicated to their replacements when conducting turnover and transfer of authority during a changeover in personnel.

7. If the Project Manager (PM) on a QA visit notices the project is not being sustained or the metrics are not being met or achieved, the Project Manager (PM) must inform the Program Manager who will inform the Commander of the situation.

    a. If projects are identified as not being sustained they must be reported to the appropriate approval level. (*For example, if the project was approved by the USFOR-A Commander and at the 120 day post project completion QA visit, it is noted the project is not being sustained by the organization that agreed to sustain it, then it must be reported up the chain of command to the USFOR-A Commander)*. For projects not being sustained, this information needs to be communicated to the Commander, as stated above, and the Commander (*or an appointed representative, possibly the Program Manager*) must address the issue or situation with the Afghan organization that signed the Sustainment Agreement.
    For projects that are not being executed to standard, this information needs to be brought to the contracting officer's or PPO's attention so they can take appropriate administrative action

C. Afghan Project Manager Partnership:

1. In an effort to build Afghan capacity in project planning and execution, a percentage of CERP projects involving construction, greater than $200K, are required to have an Afghan program manager and/or project engineer when possible. **NOTE**: If this requirement cannot be met it must be annotated in the ADR by the Project Manager (PM) with the reason.

2. The name of the Afghan Project Manager (PM) and/or project engineer will be annotated in the "Project Comments" section of the ADR in CIDNE.

3. The USG Project Manager (PM) will work with the PPO to ensure this directive is incorporated into the contract requirements. The GIRoA Project Manager shall not direct contractor performance in anyway.

4. This is a partnership between the USG Project Manager (PM) and the Afghan Project Manager (PM), which means the Afghan Project Manager (PM) will be given tasks and responsibilities. The USG Project Manager (PM) will hold the Afghan Project Manager (PM) accountable for the assigned responsibilities.

5. Afghan PMs can be incorporated from Afghan Ministries, other GIRoA entities, or non-governmental organizations (NGOs). For example, if a USG Project Manager (PM) was initiating an education CERP project that involved building a school in a district; that USG Project Manager (PM) should have already engaged the district Ministry of Education (MoE) representative and should inquire if the ministry would like to have an Afghan MoE Project Manager (PM) involved with the project. If so, the USG Project Manager (PM) will partner with that Afghan Project Manager (PM) and provide training, mentorship, and responsibilities as agreed upon between the two PMs.

6. The USG Project Manager (PM), in cooperation with the USG engineer, will define the job requirements for the Afghan Project Manager (PM) and/or project engineer. At a minimum, the Afghan Project Manager (PM)'s requirements should include:

   a. Providing weekly progress reports submitted to the sponsoring USG Project Manager (PM), which identifies the percentage of work completed and potential project setbacks (*similar to the periodic QA report required to be submitted by the Project Manager (PM)*). **NOTE: The presence of an Afghan Project Manager (PM) and/or project engineer does not relieve the USG Project Manager (PM) from his/her required site visits and independent QA assessment.**

   b. Maintaining a schedule of project deliverables, goals and milestones approved by the USG Project Manager (PM) and/or USG engineer.

c. Assist the USG Project Manager (PM) in resolving project issues as they arise.

d. Maintain technical and project documentation approved by the USG Project Manager (PM) or USG engineer.

e. Provide an interface between the contractor and USG Project Manager (PM), PPO, and/or engineer.

D. Ensuring Proper Closeout/Transfer of Responsibility: Construction and equipment contracts greater than or equal to $50K will include the following in order to properly close out the contract:

1. Operations and maintenance manuals, spare parts, and post construction guides.

2. As built drawings that are signed by the recipient acknowledging their receipt and acceptance.

3. Final punch list including a notice of all deficiencies that have been corrected and accepted.

4. Contractor final invoice.

5. Contractor release of claims.

6. Acceptance memorandum signed by representatives of the receiving party (local government), the USG supervising engineer, and the contractor.

7. Final inspection and completion letters.

E. Training Requirements

1. CERP training brief provided by USFOR-A J9

2. Contracting Officer's Representative (COR) training as mandated by the local Regional Contracting Command (RCC)

3. DAU Contracting Officer's Representative training (CLC 106 and 206) and any additional training as mandated by the RCC Chief

4. DoD Combating Trafficking of Persons online training

5. Joint Ethics Regulation Training provided by the local Staff Judge Advocate

Figure C.1
COR Smartcard

Contract format: A contract is usually organized in the Uniform Contract Format and formatted into Parts I, II, III, and IV.

Section A	Section B	Section C	Section D	Section E	Section F	Section G	Section H	Part II
Contract form Contains basic information such as the issuing office, address, and contract number.	**Supplies or services and prices/costs** Contains a brief description of the supplies or services and quantity.	**Description specifications and statement of work** Contains a detailed description of the requirement. **Read this section very carefully.**	**Packaging and marking** Provides packaging, packing, preservation, and marking requirements.	**Inspection and acceptance** Contains inspection, acceptance, quality assurance, and reliability requirements.	**Deliveries or performance** Specifies the time, place, and method of delivery or performance.	**Contract administration data** Contains any required accounting, appropriation data, required contract administration information, or other instructions.	**Special contract requirements** Contains a clear statement of any special contract requirements not included in Sections I, II, or III.	**Contract clauses** **Section I:** Includes standard clauses of considerable power. Defines the rights and responsibilities of contracting parties.

Part I — The schedule

Part III
List of documents, exhibits, and other attachments
Section J:
List of attachments, documents, and exhibits in this section (i.e., illustrations and certifications).

Part IV
Representations and instructions
Section K: Representations and certifications
Section L: Instructions, conditions, and notices
Section M: Evaluation factors for award

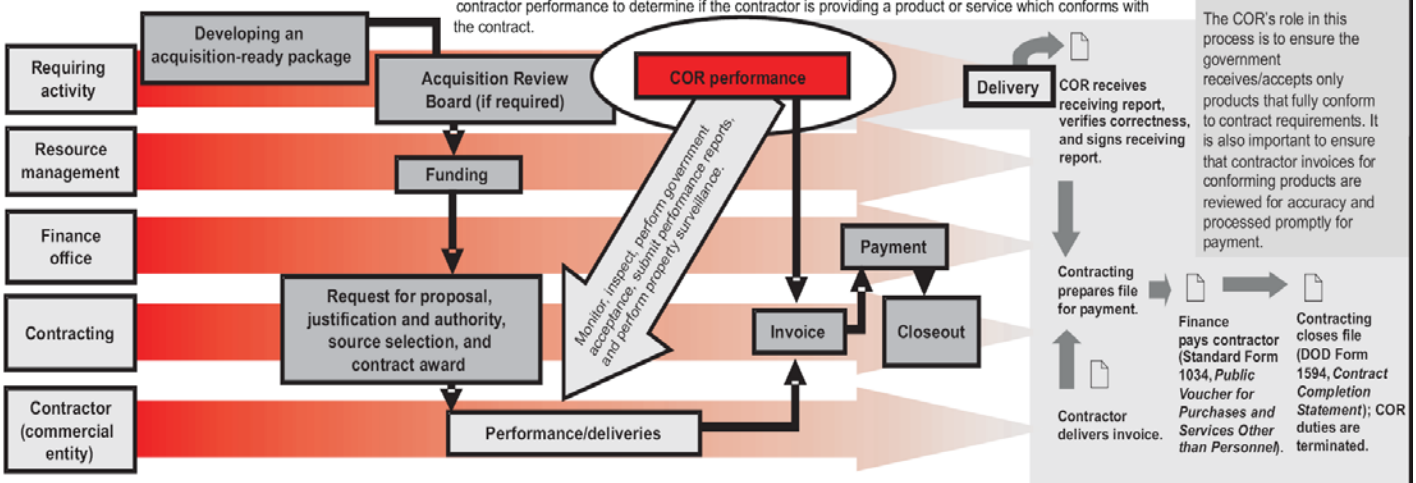
Tip: CORs should be familiar with the content for each section of the contract they are managing.

Watch Out! Do not accept any gratuities, which includes any money, credit, gift(s), anything of value, or compensation of any kind (Anti-Kickback Act of 1996 and Articles 92 and 134 of the Uniform Code of Military Justice).

Disclaimer: This Graphic Training Aid does not serve as a substitute for any law, Federal Acquisition Regulation, or any applicable DOD or Army regulation or directive. Consult your contracting officer or your organization's legal office.

Basic contracting process:

Quality assurance surveillance plan (QASP)
The QASP details how and when the government will survey, observe, test, sample, evaluate, and document contractor performance to determine if the contractor is providing a product or service which conforms with the contract.



Reminder
The COR's role in this process is to ensure the government receives/accepts only products that fully conform to contract requirements. It is also important to ensure that contractor invoices for conforming products are reviewed for accuracy and processed promptly for payment.

Know Your Basic Acquisition Team:

Contracting officer:
The contracting officer is the only individual expressly authorized to enter into, administer, change, and/or terminate contracts.

Name:_____ Phone_____ E-mail:_____

Requiring activity:
The requiring activity is usually the Army unit that has a requirement for goods or services. As the COR, you will routinely interface between the requiring activity (which is most likely your own unit), the contractor, and the supported customer(s).

Name:_____ Phone_____ E-mail:_____

Resource manager (RM):
The RM provides advice and guidance to the commander and is responsible for developing command resource requirements, identifying funding sources, determining costs, acquiring funds, distributing and controlling funds, and tracking costs and obligations.

Name:_____ Phone_____ E-mail:_____

Miscellaneous personnel:
Personnel from outside the acquisition team may also be useful (e.g., base/forward operating base mayor).

Name:_____ Phone_____ E-mail:_____

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Distribution Unlimited

GTA 90-01-016
Nov 08

The Deployed Contracting Officer's Representative (COR) Smartcard

Acquisition, Logistics, and Technology Integration Office

Commander, U.S. Army Combined Arms Support Command, ATTN. ATCL-ALT-IO, 3901 A Avenue, Suite 137, Fort Lee, Virginia 23801-1899

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Figure C.1
COR Smartcard (cont.)

COR files should include the following:

- A copy of the commander's nomination letter, copy of COR's letter of appointment from the contracting officer and any changes to that letter, and a copy of any termination letter.
- A copy of the contract or the appropriate part of the contract and all contract modifications.
- A copy of the applicable quality assurance surveillance plan.
- All correspondence initiated concerning performance of the contract.
- The names and position titles of individuals who serve on the contract.
- A record of inspections performed and the results of those inspections.
- Memorandums for record of minutes of any meetings and discussions with the contractor or others pertaining to the contract or contract performance.
- A copy of the surveillance schedule.
- Documentation pertaining to the COR's acceptance of performance of services, including reports and other data.

Remember: CORs should receive most of these files from their contracting officers during COR training. COR files should be considered confidential and safeguarded appropriately.

COR key duties: Monitor the contractor performance, perform inspections, verify corrected deficiencies, perform government acceptance, liaison with all parties, submit performance reports, and perform property surveillance. See the COR appointment letter for further details of COR duties.

Forms that CORs should know:

Typical contractual instruments:

- **Department of Defense (DD) Form 1155,** *Order for Supplies or Services*
- **Standard Form (SF) 30,** *Amendment of Solicitation/Modification of Contract* (common)
- **SF 44,** *Purchase Order-Invoice-Voucher* (pocket-sized)
- **SF 1442,** *Solicitation, Offer, and Award (Construction, Alteration, or Repair)*
- **SF 1449,** *Solicitation/Contract/Order for Commercial Items* (common)

Typical receiving report instruments:

- **DD Form 250,** *Material Inspection and Receiving Report* (common)
- **Invoices used as receiving reports**
- **SF 44**
- **SF 1442**
- **SF 1449**

Typical funding instruments:

- **Air Force Form 9,** *Request for Purchase*
- **Department of the Army Form 3953,** *Purchase Request and Commitment* (common)
- **DD Form 448,** *Military Interdepartmental Purchase Request*

Tip

See reverse side of this Graphic Training Aid (contracting flowchart) to learn how to use these forms. CORs must ensure their contracting officers explain what is required in managing these forms.

Tips

- CORs should use their understanding of the local culture for successful outcomes. It takes understanding, planning, and patience when working with foreign contractors in a deployed environment. When communicating, CORs should always ensure their language is clear and concise (avoid jargon). Above all, CORs should keep a professional working relationship. Take cultural factors into account, but discern between cultural differences and excuses.
- Each COR should have a designated alternate trained to fill in the gap when the primary COR is not available (due to mission, injury, or mid-tour leave).
- The COR should know all of the acquisition team members' names, phone numbers, and e-mail addresses.
- CORs are strongly encouraged to use a digital camera to document deliveries and/or services.
- CORs must understand local finance office procedures and requirements on proper invoicing.

Watch out!

- Never underestimate the dangers of being a COR. It is likely that CORs will be required to travel outside protective areas to inspect the progress of a contract. CORs must ensure they have adequate protection.
- Both commanders and CORs must understand they do not have contractual authority to issue directions or changes to any contract.
- CORs cannot delegate their COR duties.
- The pressures to meet mission requirements can be even more intense in a contingency contracting environment than in garrison. If a COR is not vigilant, these pressures can cloud his judgment as to the right way to conduct himself and represent the U.S. and the Department of Defense (DOD). CORs must educate their leadership on how to avoid unauthorized commitments.
- Corruption is the number one threat in contracting—be vigilant.

Reminders

- CORs must always remember that payment to a contractor implies work is progressing according to the contract; therefore, CORs must ensure the government gets what it pays for.
- COR records are vital for determining any actions for or against a contractor—document everything.
- The COR file is a part of the official contract file and must be maintained in accordance with the contracting officer's instructions.
- Mark the contract number clearly on all documents sent to the contracting officer.
- Section C (Statement of work) provides the meat and potatoes for understanding the contract. Section C is the COR's primary resource for managing the contractor. CORs should read this section very carefully.

Training, references, and online resources:

Trafficking in Persons (TIP) program:

- CORs must be aware of how contractors treat their employees. As a COR monitors (not investigates) the contractor and his employees, fighting human trafficking ranks among the COR's chief priorities. In deployed environments, CORs are too often unaware that trafficking occurs in the midst of hundreds of local nationals and third-country nationals working on their base camps. CORs are the first line of defense in the battle against human trafficking.
- All DOD military, civilian, and DOD contractors must receive mandatory TIP awareness training.
- Every COR must receive TIP awareness training. CORs must place their certificates of completion in their COR working files.
- The military has zero tolerance for human trafficking. CORs are to report all violations to their contracting officers immediately.
- TIP awareness training available at: <http://www.dodig.osd.mil/Inspections/IPO/combatinghuman.htm>.

COR training:

- Army Logistics Management College (ALMC) at <http://www.almc.army.mil>; see courses and schedules under "Academic Info"; Contracting Officers Representative Course (4-day residence course).
- Defense Acquisition University offers a COR training module at <https://acc.dau.mil/cor>; Contracting Officers Representative with a Mission Focus (8-hour online course).
  Additional COR-related training modules are also offered. COR nominees without any previous COR experience should also enroll in Contracting for the Rest of Us (2-hour online course).

Regardless of their experience or formal training, CORs will receive on-the-spot training from their supporting contracting officers.

Online resources

Defense Acquisition University offers a COR community of practice at <https://acc.dau.mil/cor> to provide a central clearinghouse of knowledge and learning assets and share best practices and lessons learned.

Online training for contracting basics familiarization

The Sustainment Center of Excellence offers a contracting basics familiarization course at <https://scoe.learn.army.mil/webapps/portal/frameset.jsp>; see "Course Catalogs"; select "SCOE Courses"; select Contractors Accompanying the Force (CAF).

Deployed COR Handbook

Go to the Center for Army Lessons Learned Web site at <https://call2.army.mil>; search under "Product Type" for "Handbooks"; scroll to 08-47, *Deployed COR Handbook*.

Figure C.2
CERP Smartcard

Commander's Emergency Response Program (CERP) Acquisition Team:

Brigade Commander
Responsible for the overall implementation of the CERP within the brigade's area of responsibility (AOR). Appoints, in writing, the brigade's and subordinate battalions' project purchasing officers (PPOs) and paying agents (PAs). Identifies and approves projects within his spending authority and ensures the proper management, reporting, and fiscal controls are established to account for CERP funds. Ensures procedures are in place to ensure the quality and completeness of contracted work before progress payments are made. Upon project completion, ensures the facility is turned over to local authorities in accordance with established policies.

Battalion (BN)/Task Force (TF) Commander
Responsible for the overall implementation of the CERP within the BN/TF AOR. Nominates his designated PPO and PAs. Identifies and approves projects within his spending authority and ensures the proper management, reporting, and fiscal controls are established to account for CERP funds. Ensures procedures are in place to ensure the quality and completeness of contracted work before progress payments are made. Upon project completion, ensures the facility is turned over to local authorities in accordance with established policies.

Civil Affairs Officer/S-9 Staff
The key planners for the execution of the unit CERP. Provide the critical links to civil authorities within the unit's AOR. In the unit CERP, the S-9 and his staff can be expected to develop plans and programs and recommend policies to build the relationship between the unit and local civil authorities; provide advice on the prioritization of allocated CERP funds; conduct the daily management of the unit CERP projects; coordinate and integrate area assessments of infrastructure and public service systems; provide generalist expertise and project nominations in the areas of public health, public works, and public safety; and facilitate project coordination with other U.S. government (USG) agencies, nongovernmental organizations, international organizations, and regional organizations operating within the unit's AOR.

Brigade Staff Judge Advocate
Reviews project nominations to ensure they are in compliance with established theater guidelines and orders. Receives, investigates, and recommends adjudication of civilian claims for battle damage of personal property. Receives, investigates, and recommends adjudication of claims for condolence payments due to civilian deaths or injuries that result from coalition operations.

Staff Engineer
Serves as the engineering and technical expert to review projects funded through the unit CERP. Assists with engineering assessments of indigenous infrastructure systems and public services. Identifies options and potential engineering solutions to infrastructure-related issues. Prepares and/or reviews project scope of work. Assists in conducting quality control and quality assurance inspections of completed work.

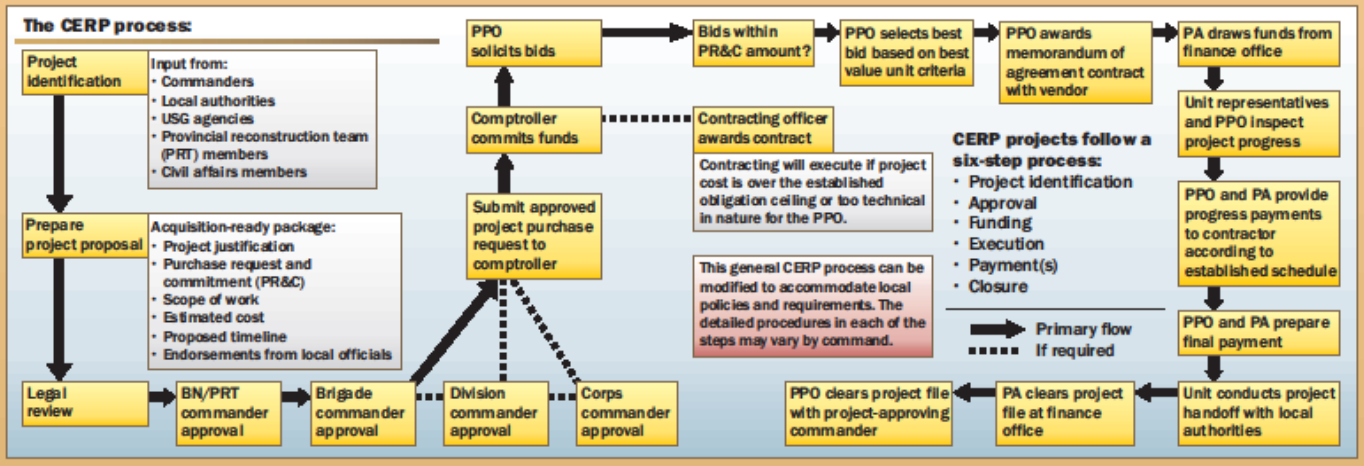
Project Purchasing Officer
Serves as a direct representative of the contracting officer and is granted authority by the commander to procure services and materials for the unit in accordance with theater policies outlined by the servicing contracting office. The PPO receives his training from the command's servicing contracting office and performs a number of important functions in the unit CERP. Specifically, the PPO manages the unit CERP budget, manages individual project nominations, provides advice and oversight for all unit projects, maintains project files and required forms and obtains appropriate signatures/approvals during the project approval process, and ensures quality assurance measures are in place for all CERP projects.

Paying Agent
Serves as the direct representative of the servicing finance office's dispensing officer. Has overall responsibility to receive and disburse cash payments for CERP projects in accordance with guidance from the unit PPO. The PA is trained by the unit's servicing finance office and has pecuniary liability for any cash or paid vouchers. The PA ensures CERP funds are delivered, transported, and safeguarded in accordance with theater-specific policy. The PA is not authorized to delegate further his responsibilities for CERP funds.

Contingency Contracting Officer
Trains PPOs and provides contracting advice, guidance, and assistance when required, especially when the project cost is over the established obligation ceiling for the PPO or too technical in nature. Theater commands will establish project-funding ceilings that require the use of a warranted contracting officer in lieu of the unit PPO.

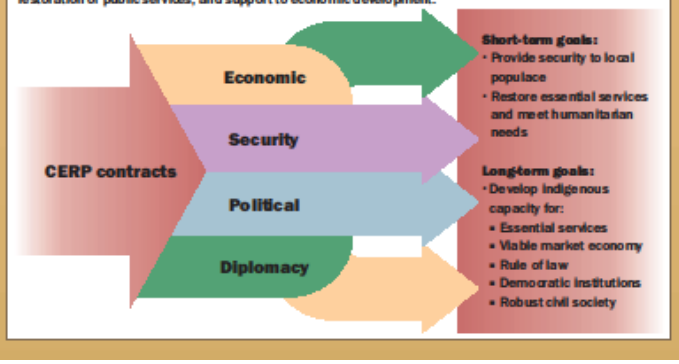
S3 Effects Coordination Cell
Coordinates all effects for the unit and assists both the current operations and future plans cells. Serves as a liaison between the unit, information operations, civil affairs, psychological operations, and intelligence in regard to CERP projects.

The CERP process:



How CERP supports the counterinsurgency effort:

The CERP provides a critical capability in the commander's toolbox for conducting stability operations. CERP funds provide tactical commanders a means to conduct multiple stability tasks that have traditionally been performed by U.S., foreign, or indigenous professional civilian personnel or agencies. These tasks include but are not limited to the reconstruction of infrastructure, support to governance, restoration of public services, and support to economic development.



GTA 90-01-017
Nov 08

CERP

(Commander's Emergency Response Program)

Smartcard for Leaders

Shaping the battlefield by funding projects that provide immediate, tangible relief to indigenous populations and inject money into local economies.

Acquisition, Logistics, and Technology Integration Office

Source: Department of Defense Financial Management Regulation Volume 12, Chapter 27, August 2008

Commander, U.S. Army Combined Arms Support Command
ATTN: ATCL-ALT-IO
3901 A Avenue, Suite 137
Fort Lee, VA 23801-1899

Approved for Public Release
Distribution Unlimited

Figure C.2
CERP Smartcard (Cont)

Authorized uses of CERP funds:

- Water and sanitation projects that repair or develop water- and sewer-related infrastructure (wells, filtration and distribution systems, storage tanks, pumping stations, and treatment plants).
- Food production and distribution projects that increase food production or food distribution processes (food storage centers/warehouses and food distribution facilities).
- Agriculture projects that increase agricultural production or provide for cooperative agricultural programs (irrigation systems, pipelines, pump units, and irrigation canals).
- Electricity projects that repair or develop electrical power or distribution infrastructure (generators, distribution lines, substations, towers, and residential/commercial connections).
- Healthcare projects that repair or develop healthcare facilities and services (hospitals, clinics, urgent healthcare services, immunizations, medicine, and medical supplies or equipment).
- Education projects that repair or develop education facilities (schools, universities, education supplies, furniture, and equipment).
- Telecommunications projects that repair or develop telecommunications systems or infrastructure (cell phone towers, switch networks, hubs, and telephone lines).
- Economic, financial, and management improvement projects that improve economic or financial security (banks, banking systems, and facility security).
- Transportation projects that repair or develop transportation systems (roads, bridges, culverts, and public transportation stations and facilities).
- Rule of law and governance projects that repair or develop government buildings and legal facilities (administration offices, courthouses, and prisons).
- Irrigation projects that repair or develop irrigation systems (canals and pump stations).
- Civic clean-up projects that remove trash and clean up communities (trash collection and disposal programs, landfills, and waste incinerators).
- Civic support projects that purchase or lease vehicles to support civic and community activities.
- Civic and cultural facilities projects that repair or restore civic or cultural buildings and facilities (museums and historic and cultural sites).
- Repair of damage that results from U.S., coalition, or supporting military operations and is not compensable under the Foreign Claims Act.
- Condolence payments to individual civilians for the death or physical injury from U.S., coalition, or supporting military operations not compensable under the Foreign Claims Act. Condolence payments may include payments made to the surviving spouse or next of kin of defense or police personnel who are killed because of U.S., coalition, or supporting military operations (sometimes referred to as "martyr" payments).
- Payments to individuals upon release from detention.
- Protective measures projects to enhance the durability and survivability of critical infrastructure sites (fencing, lighting, barrier materials, berms, and guard towers).
- Other urgent humanitarian relief or reconstruction requirements not covered above but equally critical to local humanitarian and reconstruction needs and deemed necessary by local commanders (e.g., facilities related to firefighting, rescue services, and removal of hazardous materials).

CERP funds may not be used for:

- Direct or indirect benefit to U.S., coalition, or other supporting military personnel.
- Goods, services, and funds to national armies, national guard forces, border security forces, civil defense forces, infrastructure protection forces, highway patrol units, police, special police, intelligence, or other security forces. (Other funds, such as the Iraq Security Forces Fund and the Afghanistan Security Forces Fund provide other avenues of financing for such projects.)
- Weapons buy-back programs or other purchases of firearms or ammunition, except as authorized by law and separate implementing guidance. (Do not confuse CERP with the monetary reward program authorized by 10 United States Code [USC] §127[b], which is not a weapons buy-back program.)
- Entertainment.
- Reward programs. (However, many reward programs are authorized by 10 USC §127[b] and implemented in Iraq and Afghanistan through major command orders.)
- Removal of unexploded ordnance.
- Services available through municipal governments.
- Salaries, bonuses, or pensions of Afghan or Iraqi military or civilian government personnel.
- Conducting psychological operations, information operations, or other U.S., coalition, or Iraqi Security Forces/Afghanistan Security Forces operations.
- Support to individuals or private businesses, with the exception of condolence payments, battle damage payments, and micro-grants.
- Commanders may not circumvent established monetary limits and approval requirements for their echelon of command by "splitting" a single project into multiple, smaller-scale projects.

CERP projects have an inherently high risk for corruption. Be vigilant.

Common contracting fraud schemes in a deployed environment:

Product substitution	Price fixing
Defective pricing	Cost mischarging
Fabrication of records	Bribes, gratuities, and kickbacks
Government employee collusion	Individual fraud

Disclaimer: This Graphic Training Aid does not reflect all implementing guidance, as well as current theater-specific standing operating procedures which vary by theater and command. If in doubt about any potential use or restriction of CERP funds, commanders should get a ruling from unit legal, finance, and/or contracting officers.

Unit CERP coordination meetings:

Units should conduct regularly scheduled project coordination meetings or project review boards. These meetings ensure the projects under consideration are advancing and synchronized to the desired effects of the command using the doctrinal decide, detect, deliver, and assess method. These meetings are also used to:

- ☑ Disseminate command guidance.
- ☑ Review the status of the unit CERP fund account.
- ☑ Coordinate and synchronize the use of other available funds and resources.
- ☑ Prioritize available CERP funds across the command.
- ☑ Review and deconflict project proposals from subordinate units, local authorities, and other agencies.
- ☑ Recommend projects to be funded or deleted, based on their potential contribution to the unit's overall campaign plan and their support to decisive points and end states for each line of operation.
- ☑ Update the commander on the progress of previously approved projects.
- ☑ Share CERP- or project-related lessons learned.

When selecting proposed CERP projects, improve their probability of success by applying the following general principles:

Principle #1: Ownership
Indigenous population and local government officials must view any development program as their own, not as an imposed product from outside agencies.

Principle #2: Capacity building
The transfer of knowledge, techniques, and skills to the indigenous people, institutions, and government so they obtain the requisite abilities to deliver essential services to the population.

Principle #3: Sustainability
Design and select only those projects and services that will have a lasting effect on the local population.

Principle #4: Selectivity
Allocate resources based on need, local commitment, and foreign policy interests.

Principle #5: Assessment
Carefully research nominations, adopt best practices, and design for local conditions in proposed CERP projects.

Principle #6: Results
Direct resources to achieve clearly defined, measurable, and strategically focused objectives.

Principle #7: Partnership
Collaborate closely with local governments, communities, nonprofit organizations, private sector, and international organizations.

Principle #8: Flexibility
Adjusting to changing conditions, taking advantage of opportunities, and maximizing effectiveness are important components of any reconstruction and development program.

Principle #9: Accountability
Enforcing accountability, building transparency into systems, and emplacing effective checks and balances to guard against corruption are important components to any relief, reconstruction, or development program.

ANNEX D: PROJECT PURCHASING OFFICER (PPO) GUIDE

1. REFERENCES
2. STANDARDS OF CONDUCT
3. ROLE OF A PROJECT PURCHASING OFFICER
4. APPOINTMENT
5. TRAINING
6. UCMJ AND PROHIBITIONS
7. RATIFICATION
8. PROJECT PURCHASING OFFICER FOLDER
9. SF FORM 44, PURCHASE ORDER – INVOICE – VOUCHER
10. RECORD OF PURCHASES AND RECORD OF FUNDS
11. LOST OR STOLEN STANDARD FORM 44s
12. PROJECT CLOSURE PROCEDURES
13. TERMINATION FOR OTHER THAN CLOSE OUT
14. SPECIFIC REQUIREMENTS
15. CONTINGENCY SITUATIONS

REFERENCES

A. DOD 5500.7-R Joint Ethics Regulation

B. Army Federal Acquisition Regulation No. 2 (Contingency Contracting)

C. Federal Acquisition Regulation Part 13.306: SF44 Purchase Order

B. C-JTSCC Acquisition Instruction dated 1 Sep 2011. Commander's Emergency Response Program in support of operations in Iraq and Afghanistan.

STANDARDS OF CONDUCT

A. Due to the increased scrutiny of taxpayer's money in the theater of operations, and more specifically, in the CERP program, even the appearance of impropriety can give the Coalition Forces and our mission here a negative image. The Project Purchasing Officer must conduct actions in accordance with U.S. laws, regulations, and policies. The PPO's conduct and behavior shall be above reproach. PPOs shall not solicit or accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan, or anything of monetary value from any vendor or contractor. (*Reference DoD 5500.7-R, Joint Ethics Regulation).*

ROLE OF THE PROJECT PURCHASING OFFICER

A. The PPO is an extension of the Contracting Office and is only authorized, as determined by the responsible Regional Contracting Center Chief, to obligate CERP funds for projects less than $500K. For projects $500K or greater, a warranted Contracting Officer is required. PPOs play a vital role in purchasing goods and services that assist Commanders in providing urgent humanitarian relief to the

Afghan people. When contracting for services, the PPO should employ as many Afghan people as possible. Due to the unique nature of CERP, Project Purchasing Officer actions and contracts must be beyond reproach. Contracts need to be fairly competed amongst potential vendors to the greatest extent possible, must be transparent in that documentation supporting actions taken is available as record, and must be constructed as an enforceable agreement with the ability to hold the contracted entity accountable.

APPOINTMENT

B. The PPO must be a United States Government (USG) employee. The PPO must be in the rank of E-6 or above (or civilian equivalent). The PPO is appointed, on a DD Form 577, by an O-5 level U.S. Commander (or above).

C. The PPO's DD Form 577 must be maintained on file in the servicing RM Office, Contracting Office, and Finance Office and be included in each project file he/she is assigned to.

D. The PPO must receive his/her delegated contracting authority from the nearest Regional Contracting Center (RCC) where the preponderance of the projects or actions will occur. The RCC Chief will determine, based on level of experience and training, the level of delegable authority for projects less than $500K.

E. For projects that are less than $100K and do not involve complex construction, a Purchasing Officer may also be appointed as the Project Manager (PM). Individuals fulfilling dual roles must complete all required training for each position appointed.

F. Project Purchasing Officers cannot "re-delegate" contracting authority received from the RCC Chief.

TRAINING

A. Every PPO must be delegated as a warranted official by the servicing RCC Chief prior to initiating any projects. **NOTE**: All training must be documented and kept in the Project Manager's Continuity Book.

B. Joint Ethics Regulation Training: Contact your local staff judge advocate for directions/link to current required training.

C. The PPO will receive training from the nearest Regional Contract Center in which he/she will accomplish the preponderance of their projects/actions. Upon completion of all required training will be issued a delegation letter by the RCC Chief. Training consists of a face-to-face Project Purchasing Officer training that is localized for the specific region, meaning the RCC will inform the PPO of the uniqueness in terms of contracting, the vendors, and culture of the area they will be working in.

D. PPOs must receive CERP overview training from the CERP Program Manager, Regional Command CERP Team, or USFOR-A J9 once in theater.

UCMJ AND PROHIBITIONS

A. Reference: AFARS manual No. 2

B. Pecuniary and Legal Liability: PPOs may be subject to pecuniary liability, and/or face UCMJ action, for making purchases prohibited by the PPO appointment, the DoD FMR, and this SOP. Project Purchasing Officers are responsible for informing his/her Commander of the extent and limitations of his/her authority or abilities/expertise in performing a contract action. If in doubt, consult with a warranted Contracting Officer before making a purchase and/or initiating a SF Form 44, *Purchase Order-Invoice-Voucher*. Should there be any injury, loss of life or property as a result of not performing the above due diligence, the PPO can be subject to pecuniary and legal liability, to include UCMJ action. Coalition partners (military or civilian) cannot serve as a Project Purchasing Officer under CERP.

C. Loss of accountability of SF Form 44s: The SF Form 44 should be treated as a controlled item. The PPO must be aware the SF Form 44 is a direct draft upon the U.S. Treasury and may be accepted by vendors without further proof of authority to execute. Therefore, the PPO must safeguard all SF Form 44s or risk being held accountable for those forms presented for payment signed by someone other than the Project Purchasing Officer.

D. Prohibited purchases: When in doubt, contact the Resource Management or Regional Contracting Command offices.

RATIFICATION

A. Ratification is the process of approving an improper procurement or an unauthorized obligation.

1. An **improper procurement** is making a prohibited purchase or obligating funds in excess of the available amount (potential Anti-Deficiency Act violation).

2. An **unauthorized obligation** is any agreement that is not binding solely because the Government representative who made the obligation lacked the authority to enter into that agreement on behalf of the Government (i.e. If the PPO exceeds his/her authority (amount delegated by the contracting officer) or if a non-PPO enters into a contractual agreement with a vendor).

B. Ratification is a long, painful process, and not all ratifications result in approval (*which means the PPO and/or Paying Agent (PA) may have to personally pay for the purchase*). **NOTE**: Prohibited purchases cannot be ratified, because there is no legal authority authorizing the purchase.

C. Ratification is accomplished using CENTCOM Form 5153.120-5011. This form requires input from the PPO, his/her supervisor, his/her Commander, his/her first-line O-6 level U.S. Commander (*or higher depending on amount of the purchase*), a legal review by a U.S. DoD attorney, and the Contracting Officer (*or higher level Contracting Official, depending on the amount of the purchase*). If you believe a ratification action is required, contact the Contracting Office immediately.

PROJECT PURCHASING OFFICER FOLDER

B. PPOs shall maintain a contracting file, which may be organized in the following sequence (contact your local Regional Contracting Command office for specific guidance):

C. Left Side of Folder (in descending order):

1. Copy of the PA's DD Form 577 *(See Annex B)* (*if applicable, PA's are only required when making cash payments*)

2. The original DA Form 3953 (PR&C) or DD Form 1149

3. Any funding increases (*in descending chronological order by date*)

D. Right Side of Folder (*in descending order*):

1. PPO's DD Form 577 *(see Annex B)*

2. Certification of PPO Training

3. Project Manager (PM)'s clearance memorandum signed by the Project Manager (PM). **NOTE**: If the PPO is acting as the Project Manager (PM), then this clearance letter must be signed by an O-5 level U.S. Commander (or above).

4. Copy of the SF 44 Record of Purchases register

5. Copy of monthly DD Form 1057 Feeder Reports

6. Copy of final SF Form 1034s

7. Copy of the completed ADR (*signed by an O-5 U.S Commander or above*)

8. After the PPO's period of performance has ended, the PPO's termination order (*documented on the original DD Form 577*)

SF FORM 44, PURCHASE ORDER – INVOICE – VOUCHER

A. Reference: FAR Part 13.306; DFAR 213.306

B. Purpose: The Standard Form (SF) 44, *Purchase Order -- Invoice -- Voucher*, is a multipurpose pocket-size purchase order form designed primarily for on-the-spot, over-the-counter purchases of supplies and non-personal services while away from the purchasing office or at isolated activities. The SF 44 can be used as a receiving report, invoice, and public voucher. **NOTE**: The SF 44 is only used for cash payments. For EFT payments, use a DD Form 250.

C. Conditions for Use: PPOs are responsible for ensuring that the below conditions are met before making any SF 44 purchases:

1. The unit Commander deems the purchase to be an emergency or mission critical item.

2. The amount of the purchase is at or below his/her contracting limits (less than $500K) and within his/her self-determined ability to successfully administer. The requirement shall not be split to avoid the approval limitation. Purchase requirements exceeding the approval threshold (amount delegated by the RCC Chief) will be forwarded to the Contracting Office for procurement.

3. If sufficient funds are available, a DA Form 3953 (PR&C), certified by the RM Office must be in place prior to the PPO entering into any transactions.

4. The supplies or services are immediately available from the local vendor.

5. For purchases over $10K, make every reasonable attempt to obtain three bids in order to promote competition and area-wide economic growth.

6. Rotate sources of supply, when possible, for fair market value.

D. Preparation of a SF 44 – See Figure 8.5

RECORD OF PURCHASES AND RECORD OF FUNDS

A. Record of Purchases: The PPO will maintain a record of purchases made in a register format on the inside flap of the SF 44 booklet (or on a separate excel spreadsheet). The register will show, at a minimum, the order number, name of the contractor, date of the purchase, and the total cost of the transaction.

B. Record of Funds: The PPO will also maintain a record of remaining funds available on the back of the DA Form 3953 (PR&C). This will be maintained in

checkbook register style, with each entry being subtracted, and a running balance maintained at all times.

LOST OR STOLEN STANDARD FORM 44s

A. The PPO will immediately inform the Contracting Office via telephone and prepare a written statement on how the SF 44s were lost or stolen.

B. The Contracting Office will notify the Security Officer, Commander, and Finance Office.

C. If lost SF 44s are found, the individual returning the SF 44 must provide a statement in writing.

D. If Copy 1 (white) is lost after a purchase has been made, the PPO and PA must re-create the paperwork by submitting a memorandum for record stating the circumstances, dollar amount, and purchase order number.

E. If the PPO loses Copy 4 (green) he/she must obtain a copy of Copy 1 (white) from the PA.

PROJECT CLOSURE

A. Project Purchasing Officers must work in conjunction with Project Managers and Paying Agents to ensure a completed project is properly closed out and if applicable, turned over to the sustaining entity. This includes ensuring that all payments for goods or services have been made to applicable vendors.

B. Project Purchasing Officers must ensure that all SF 44s or DD 250s are completed in full with complete descriptions.

C. The Project Purchasing Officer will receive a clearance memorandum from the PM after all documentation has been verified and processed through the finance office.

TERMINATION FOR OTHER THAN CLOSE OUT

A. Projects may be terminated by the Commander for the following reasons:

1. By the request of the responsible Commander who initiated the appointment.

2. As a result of making unauthorized purchases or other misconduct.

3. The Contracting Office may terminate a PPO without the concurrence of the requesting Commander.

SPECIFIC REQUIREMENTS

A. The contractor will have a Quality Control Plan. The Quality Control Plan is used to determine if:

   1. All materials are new and meet engineering expectations/requirements.

   2. Design and construction meets engineering expectations/requirements.

   3. Electrical and plumbing work meets engineering expectations/requirements (*consult USACE personnel for additional guidance*).

   4. Electrical, sanitary, and drinking water installations are safe and operational upon completion of work.

   5. No items are procured from prohibited sources.

B. **Closeout/Turnover**: Construction and equipment contracts greater than $50K will include the following in order to properly close out the contract:

   1. Operations and maintenance manuals, spare parts, and post construction guides.

   2. As built drawings signed by the recipient acknowledging their receipt and acceptance.

   3. Final punch list including a notice of all deficiencies have been corrected and accepted.

   4. Contractor's final invoice.

   5. Contractor's release of claims.

   6. Acceptance memorandum signed by representatives of the receiving party (local government), the USG supervising engineer, and the contractor.

   7. Final inspection and completion letters.

CONTINGENCY SITUATIONS

A. Funds increase resulting in authority threshold break. In the event that a project's cost is expected to exceed the Project Purchasing Officer's designated contracting authority (as delegated by the RCC Chief), the PPO and PM will notify the RCC and immediately cease action on the contract. If the project is approved by a Commander with CERP authority equal to or greater than the expected cost, the Commander's CERP Program Manager and Project Manager

will work in concert with the Regional Contracting Center to determine an appropriate method of resolution. All project documentation will be made available to the RCC for determination of project actions to be taken by warranted contracting officer. Actions may include:

1. Increasing PPO authority to finish the project/action (up to a maximum authority of $500K).
2. Warranted KO relieves the PPO and continues project execution/action in accordance with appropriate acquisition method.
3. Project termination.

If as a result of a funds increase the expected project cost exceeds the approving Commander's CERP authority, the Commander's CERP Program Manager and Project Manager will immediately cease action on the contract and inform the RCC and servicing Resource Management office. If the decision is made to continue the project under higher-level authority, the Program Manager will coordinate approval as detailed in Chapter 2 of this SOP guidance.

ANNEX E: CFSOCC-A CERP EXECUTION

1. PROGRAM MANAGEMENT
2. APPROVAL THRESHOLDS
3. ADVANCE BULK FUNDS

PROGRAM MANAGEMENT

A. The management, processes, procedures, and requirements set forth in the other chapters of this SOP apply to the Special Operations Forces (SOF) community. This chapter provides further details and clearly defines how SOF will execute CERP. The guidance provided in this chapter supersedes guidance provided in other chapters of this SOP in terms of the SOF community executing CERP.

B. U.S. SOF Commanders at all levels should develop a CERP plan and ensure that projects are properly managed to ensure that CERP funds achieve maximum results, which includes establishing performance objectives and monitoring progress. The Commander's plan should address how CERP projects will be targeted and selected and also provide areas of focus within their battle space. Additionally, Commanders must ensure CERP funds are commensurate with project accomplishments or performance metrics, and that projects are monitored and closed out properly upon completion, including the transfer of ownership to an appropriate Afghan authority prepared to sustain the project.

C. There is **one currency (Afghani)** and **four methods of payment** (1) EFT, (2) Limited Depository Checking Account (LDA), (3) cash authorized in theater, and (4) Military Interdepartmental Purchase Request (MIPR).

1. U.S. Dollars are not authorized to be used for CERP cash payments.

2. The **preferred** method of payment is electronic funds transfer (EFT).

3. Waiver Requirements: If the supplies and/or equipment are not available within Afghanistan and all sources of supply have been exhausted, an O-6 U.S. Commander (or above) can authorize an EFT payment(s) in U.S. Dollars to a vendor located outside of Afghanistan. **NOTE:** U.S. Dollar cash payments are unauthorized.

4. All CERP projects should adhere to the *Afghanistan First Program* to the greatest extent possible. In other words, the CERP should strive to directly support the local Afghan population and economy.

APPROVAL THRESHOLDS

A. The following thresholds are per **requirement**, not per item. Project splitting (*separating procurements that are related to the same requirement in order to stay below the CERP approval thresholds*) is prohibited.

B. O-5 U.S. SOTF Commanders have the authority to approve CERP projects up to but not equal to $200K.

C. The O-6 U.S. CJSOTF Commander has the authority to approve CERP projects up to but not equal to $500K.

D. All CERP projects with an estimated cost of $500K or greater will meet the CFSOCC-A CERP Review Board (CRB).

E. The U.S. CFSOCC-A Commander has the authority to approve CERP projects up to but not equal to $1M.

F. For projects greater than or equal to $1M, reference Chapter 2 for approval requirements.

G. No further delegation is authorized unless otherwise approved by the USFOR-A DCDR-S. **NOTE***: In the Commander's absence, the Deputy Commander can sign on his/her behalf* ***only*** *if the approval letter is accompanied by a copy of the Deputy Commander's appointment of command. A copy of the appointment of command must be included in the project file and uploaded to the ADR in CIDNE.*

Table E.1
CFSOCC-A CERP Approval Threshold Matrix

Item	Limit	Approval Authority	Legal Review Required
Project Approval	$5M or more	Dep Sec Def (OSD)	Yes
Project Approval	$1M to $5M	USCENTCOM Cdr	Yes
Project Endorsement	$1M or more	USFOR-A Cdr USFOR-A DCDR-S	Yes
Project Approval	Up to $1M	CFSOCC-A Cdr	Yes
Project will meet CRB	Greater than or equal to $500K	Reviewed by CFSOCC-A CRB	Yes
Project Approval	Up to $500K	O-6 U.S. CJSOTF-A Cdr	Yes
Project Approval	Up to $200K	O-5 U.S. SOTF Cdrs	Yes

ADVANCE BULK FUNDS

A. CFSOCC-A units must comply with the Advance Bulk Funds guidance described below. If specific guidance is not discussed below, CFSOCC-A units must comply with the guidance in Chapter 3.

B. **Authorized Uses**: In addition to the uses stated in Chapter 4, CFSOCC-A units can utilize Advance Bulk Funds for Village Stability Operations (VSO) program. VSO is a community protection/defense program that prepares specific communities to be transitioned to the GIRoA security program, Afghan Local Police (ALP). CFSOCC-A units can use CERP funding to purchase goods and services to include supplies, equipment, and contracted pay to aid in community defense and stability operations.

   1. VSO projects will be categorized as Temporary Contract Guards for Critical infrastructure in CIDNE

C. **Unauthorized Uses**: CFSOCC-A units may not fund ALP with CERP. Once their VSO and local community protection sites and their respective personnel are officially transferred under the control of the GIRoA (*in this case the Ministry of Interior*) in the ALP program, CERP funding is no longer able to be used. CERP funds may be used up until the ALP is officially tashkieled (or transferred) to Ministry of the Interior and payments have been made by Afghan Security Forces Funds (ASFF).

D. **Advance Bulk Funds Withdrawal Authority and Approval Levels**

   1. Advance Bulk Funds withdrawal authority resides with the U.S. O-5 SOTF Commanders. SOTF Commanders are authorized to draw up to $200K in bulk funds.

   2. SOTF Commanders can have their bulk fund authority increased by requesting approval from the CJSOTF-A Commander. The CJSOTF Commander has the authority to increase a SOTF Commander's bulk fund authority up to $400K.

   3. SOTF Commanders can have their bulk fund authority increased by requesting approval from the CFSOCC-A Commander through the CJSTOF-A Commander. The CFSOCC-A Commander has the authority to increase a SOTF Commander's bulk fund authority up to $600K.

   4. SOTF Commanders can have their bulk fund authority increased by requesting approval from the USFOR-A DCDR-S through the CFSOCC-A Commander. The USFOR-A DCDR-S has the authority to approve exceptions to policy for increases to a SOTF Commander's bulk fund authority up to $750K.

5. All Advance Bulk Fund authority increases must be kept on file by the respective level's J9.

6. All Advance Bulk Fund authority increases can only be approved for up to the transfer of authority date.

Table E.2
U.S. SOTF O-5 Commander Bulk Fund Withdrawal Authority/Approval Levels

Item	Max U.S. O-5 Commander Authority	Required Approval for Authority Increase
Advance Bulk Fund Draw	Up to $750K	USFOR-A DCDR-S
Advance Bulk Fund Draw	Up to $600K	CFSOCC-A Commander
Advance Bulk Fund Draw	Up to $400K	CJSOTF-A Commander
Advance Bulk Fund Draw	Up to $200K	U.S. SOTF Commander (O-5)

ANNEX F: MANAGING CIVIL PARTNERSHIPS FOR COIN PROJECTS

1. **CIVIL PARTNERSHIPS**
2. **DISTRICT APPROACH**
3. **PROVINCIAL APPROACH**

CIVIL PARTNERSHIPS

A. Civil partnerships consist of three levels of project implementation shared between the province and district. *Counterinsurgency projects* are community implemented, require substantive community contribution and are negotiated and monitored jointly by Afghan civil government officials and our Afghan technical augmentation at the district level with our CERP funds. *Responsive GIRoA programs* that allow for off-budget cycle programming and community contracting serve as a linkage between district (nominating and monitoring) and province (scoping and advocacy for Ministerial or Agency funds) with CERP serving as a funding of last resort if donor support is not forthcoming. *Provincial Budgeting Pilot* is a provincial to national exercise of institutional capacity building with CERP funds removed from the equation.

Provincial Budgeting Pilot & Other Provincial "Budgets"

- Technical Assistance, Augmentation, and Capacity Building
  - Proposal development/technical assistance through Afghan proxies at the province who are hired and managed by coalition forces
  - Focus on facilitating execution by scoping fundable proposals that support the five identified pilot programs (NRAP, BPHS, HLP, EQUIP, and PBGF)
- Monitoring Assistance through Afghan proxies at the province and district in partnership with Afghan government representatives

Responsive GIRoA programs (community contracting only)

- Technical Assistance, Augmentation and Capacity Building
  - Proposal development/technical assistance through Afghan proxies at the district and province who are hired and managed by coalition forces
  - Technical assistance in support of specific GIRoA programs, focus on understanding the systems of three programs only (NABDP, APRP, NRAP)
  - Afghan proxies partner with Afghan government security and civil officials at the district to jointly negotiate, develop proposals, and monitor community implemented projects
- CERP funding (only if proposal rejected at national level due to lack of donor funds)
  - Project management through proxies in clear partnership with host government
  - Community implementation and contribution

COIN Projects

- Technical Augmentation
  - Project management and monitoring through Afghan proxies at the district who are hired and managed by coalition forces
  - Afghan proxies partner with Afghan government security and civil officials at the district to jointly negotiate and monitor community implementation
- CERP primary funding (below $50,000 per discrete project, $5,000 per project preferred)
  - Assistance conditional on community contribution and safe GIRoA access to community
  - Community implementable and sustainable projects only

Province

District

NON SENSITIVE INFORMATION RELEASABLE TO THE PUBLIC

B. Regardless of the civil partnering approach, we will continue to distort the system; however, this is not necessarily a negative provided we are deliberate in our approach. We currently distort at every level through our use of resources at the village, district, province and national levels through VSO, DST, PRT, IJC and ISAF. These distortions can be justified when they advance our counterinsurgency interests, involve genuine risk and responsibility sharing between the Afghan state and ISAF, and do not create unrealistic expectations that only further burden the Afghan government.

C. This section explores the district and provincial approaches for COIN effects:

DISTRICT APPROACH

Objective: Build direct, interdependent linkages between informal and formal governing structures centered at the district center.

DOs and DON'Ts*:*

- Do require Afghan government ownership and risk assumption, enable district government representatives to negotiate within a pre-established bargaining zone, and provide Afghan technical augmentation
- Do engage at the district not the individual village or community level
- Do contract to informal governing bodies directly and require verifiable community contributions as a condition for assistance
- Do require and track community security agreements to the Afghan government as a condition for assistance
- Do use Afghan technical local-hires to facilitate existing responsive Afghan government programs such as APRP and NABDP, but be prepared to keep CERP as a backup if funds are not forthcoming
- Do use small amounts of CERP funds ($5,000 per discrete project preferable) for community contracted projects with genuine community contribution
- Do not own the problem, implement independent of Afghan government, or contract to for-profit companies or non-governmental organizations
- Do not create harmful conflict over resources, engage in direct negotiations with communities, or act as the visible decision-maker

Initiatives at the district level should foster social cohesion that values cooperation with the Afghan government. The district center should serve as the focal point for balancing interests between differing community bodies and ensuring connectivity with the government. The biggest challenge to working at the district is the low capacity of civil servants and the lack of delegated resourcing authority. Resourcing authority is not limited to formal delegations of resource control but includes the ability to successfully solicit funding through responsive programs – creating resource flow that would not otherwise exist. If a district government official is not confident in the responsiveness of an implementation mechanism, he is unlikely to engage community bodies for fear of seeming not in control when no assistance is forthcoming. A more likely response is to defer to other actors such as the PRT when requests are made by communities.[15]

The district is the lowest level of formal government; it is the lowest level for linking the Afghan government to the informal governing structures in support of counterinsurgency objectives. The district level allows for the aggregation of various community interests; whereas, interventions direct to a particular community only

[15] A recent study on the role of district governments in project solicitation found 52 distinct processes for submitting community petitions in 33 districts surveyed. The role of the district government was largely to sign a petition for referral onto another body rather than taking ownership directly. Several district officials expressed dissatisfaction with being bypassed by communities. See Local Governance and Community Development Program's *District Government Assessment* (Kabul: 2011).

represents the interests of that individual community. It is at the district that bodies representing disparate community interests can meet and determine a fair system for sharing projects between their constituencies.

The district government is physically closer to community project sites and should be able to collect project monitoring data if properly enabled, instructed, and provided genuine ownership of the project. Each community visit by Afghan government officials is a reaffirmation of community security commitments and another opportunity to visibly demonstrate the Afghan government's role in the project. It is also an opportunity for Afghan security forces to partner with civil authorities by providing transport and protection during visits. Afghan security forces in turn benefit through being associated with projects important to the community and can develop more effective community relationships now that assistance is conditional on cooperation with the government. Communities, if they value the project as evidenced by genuine community contribution, additionally value the relationship with the service provider – the Afghan state and not a proxy such as a non-governmental organization or construction company.

District social cohesion and community resiliency form the logic of the district approach. District social cohesion is the aggregation of disparate community interests that are aligned with the formal state in which cooperation is necessary for joint gain. Community resiliency, as related to counterinsurgency, is demonstrated when informal governing entities (be they village, village cluster, clan, etc.) identify collective interests, align with the state in furtherance of these interests. In doing so, the informal governing entities have sufficient agency (either independently or in partnership with the state security organizations) to resist insurgent attempts to force the community to opt-out of alignment with the government. Successful government performance is a necessary condition for creating an incentive structure in which informal bodies seek to align their interests with the state. The visible symptoms of a lack of district social cohesion are alienated/vulnerable communities. Vulnerable communities are identified by the following indicators: autonomous community bodies acting in self-interest, inability of civil government and security officials to access communities, inability or lack of will to resist insurgent pressure to opt-out, lack of representation in government or government-aligned representational bodies, and violent competition over resource distribution.

Direct Assistance

Our direct assistance approach at the district level and below should be to create a responsive (but limited) implementation mechanism centered on the district center. A model for direct programming through Afghan technical augmentation (capacity building), reducing direct coalition forces involvement, and facilitating district social

cohesion should inform our use of CERP in rural districts that lack sufficient civil service capacity but host coalition forces. Units located at the sub-district level should refrain from spending CERP as this can generate fractures between those communities in the vicinity of the coalition forces installation that benefit and those that do not. The location of bases can appear arbitrary to the population making it unclear why some communities would benefit while others do not. It is better to consolidate development negotiations at the district center so conditions such as Afghan government access can be articulated clearly and consistently to informal district governing bodies. Our monitoring role would be to ensure distribution of projects is not benefiting a single area to the detriment of others, to debrief the Afghan technical augmentation following visits with government officials to project sites, and to ensure agreement compliance (including community contributions) before releasing milestone payments.

Indirect Assistance

Indirect assistance at the district level is focused on enabling the responsive Afghan government programs that contain a community implementation mechanism. The intent is to work as closely to the direct assistance model as possible while utilizing on-budget funds. If Afghan government funds are used, more of the liability for oversight is assumed by the Afghan state. The two programs that should be the focus of our technical augmentation and assistance are the community contracting portions of the National Area Based Development Program (NABDP) and the Afghanistan Peace and Reintegration Program (APRP). These programs can be viewed as independent programs, or they can be viewed as the funding source (APRP) and as the operational implementing program (NABDP) that partners with DDAs and CDCs to execute projects.

We have the option of providing Afghan technical augmentation through the service contract option of the US-funded Afghanistan Reintegration Program (ARP). ARP funds are able to hire Afghan technical talent to staff the Provincial and District Joint Secretariat Teams (PJST and DJST) to facilitate execution of the APRP. Presumably these local-hires would be able to perform additional duty to facilitate NABPD as well as our direct assistance. The recruitment and management of these service contractors has proven problematic as they are often nominated by provincial government authorities and subsequently considered an Afghan government asset.[16] This situation mirrors the experience of the USAID/Local Governance and Community Development Program (LGCD)[17] and follow-on

[16] Author's conversations with RC(S) Reintegration Liaison (June 2011).

[17] USAID Office of the Inspector General, *Audit of USAID/Afghanistan's Local Governance And Community Development Project in Southern and Eastern Regions of Afghanistan* (Manila: 2009), 6.

USAID/Afghanistan Civil Service Support (ACSS) projects that placed Afghan technical local-hires at the province and district but eventually phased out the program due to limited ability to successfully manage these individuals.[18]

For technical augmentation to work, the technical local-hires need to be recruited and managed directly by coalition expatriates residing at the same duty-station. The expatriate is able to provide support to the technical local-hire should a conflict arise with Afghan government officials on issues, such as corruption or other divergence of funds. Technical local-hires should largely replace the need for expatriate direct presence for community implemented projects. Negotiations, mobilization, and monitoring visits with Afghan government representatives can be conducted by the local-hires provided there is a deliberate system of data collection. The local-hires should focus on specific tasks (such as executing a particular program by partnering with government officials to develop proposals for funding and execution) rather than an ambiguous and hard to monitor assignment such as "building capacity." It is preferable to recruit a technical local specialist with experience in community infrastructure projects. It is easier to train a technical specialist on the nomination process for APRP or NABDP than it is to train a generalist in agriculture or engineering. The local-hire should report to a coalition technical specialist (i.e. ADT, CA, PRT Engineer, DST, etc.) who need not reside at the same location. The coalition technical specialist will need an Afghan technical coordinator to facilitate the communications with technical local-hires.

The local-hire can serve as a valuable source of information and can track not only technical aspects of project execution but also report on socio-economic issues in communities, whether Afghan government officials conducted site visits and the nature of government and community interactions. Since the local-hires are employed by coalition forces, performance can serve as the basis for retention or removal which is not the case when working with Afghan government civil service staff. A system of technical augmentation is only as good as its management, but when managed well, it can yield useful insights into our partnered institution's performance. Particular care is needed when managing the security environment of a local-hire. This also provides an additional sensor to maintain situational awareness as we reduce our military footprint.

An indirect approach for program execution at the district level would see the hiring of one or two Afghan technical local-hires in the field of agriculture and/or community

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[18] Author's conversations and experience with these programs indicated that the technical local-hires were often insufficiently managed, did not have specific tasks to accomplish but pursued a more general capacity building mandate, and often functioned as secretaries or other menial positions.

infrastructure (engineering) for a district hosting coalition forces. These local-hires would be expected to help manage direct assistance projects as well as enable the NABDP and APRP by developing proposals for community contracts and small grants respectively. The proposals generated in partnership with the Afghan government and informal district bodies would need to be simple enough that should funding fail to materialize after referral to the national level, that CERP could still be available to reward successful cooperation. For this reason, these projects should not exceed $50,000 per discrete project and be allowable under existing CERP regulation. Once a project is funded (optimally through Afghan government funds), the local-hires would partner with Afghan civil and security government personnel to monitor project execution and collect data per our defined data collection process. In this way, the local-hires assist the district government to connect to the province, gain awareness of their own government programs, and facilitate visible ownership by government officials. Local-hires managed this way can mitigate the challenges of the procurement and monitoring systems of programs such as NABDP and APRP while still retaining the option of CERP as a funding stream of last resort.

PROVINCIAL APPROACH

Objective: Facilitate execution of district initiatives and enable development of Afghan government institutions and systems while ensuring that CERP does not become a distortion.

DOs and DON'Ts:

- Do directly manage the network of Afghan technical local-hires in the district and province
- Do understand and offer technical assistance in support of the 1391 Provincial Budgeting Pilot
- Do not use CERP to execute projects on the Provincial Development Plan (PDP), provincial government wish-lists, or other provincial government project requests that must be on-budget
- Do not require Provincial Development Committee (PDC) approval for COIN projects (district direct assistance)
- Do seek provincial buy-in and support for NABDP and APRP proposals
- Do not encourage the creation of new assets requiring GIRoA sustainment (e.g. schools, health facilities, government offices) until there is evidence of the successful sustainment of existing assets that is sustainment memo from the respective Ministry in Kabul.

There have been many attempts by PRTs to improve provincial budget formulation capacity. These attempts have included efforts to improve or update Provincial Development Plans (PDP) and establish uniform project nomination forms. PRTs have even attempted to refer all projects large and small to the Provincial Development Committee (PDC) for approval, *despite the fact that provinces have remained secondary budgeting units without authority over development programming and PDCs lack approval authority over the proposals of the Afghan ministries* (much less, external donors).

PDPs are usually not costed or scoped and make no reference to the implementing mechanism.[19] Planning without being aware of donor preferences and national program constraints is not effective to service delivery.[20] It is also important to differentiate between counterinsurgency projects that are by necessity responsive and do not require sustainment by the Afghan government and projects meant to build the institutional capacity of the Afghan state.

Counterinsurgency projects, provided they follow the procedures outlined in this chapter, should be executed in partnership with the district government. The only level that should have notional approval authority would be the district as they are expected to assume risk by physically visiting the site without coalition escort. A signature by the provincial director, or even the PDC as a whole, represents no assumption of risk or responsibility. Since counterinsurgency projects are unlikely to involve visits by provincial actors, their approval represents an unnecessary delay to implementation. Provincial (and in the case of MRRD, regional) officials should become involved in the advocacy of projects for the NABDP or APRP and provincial budget pilot programs in which they are expected to add value.

[19] Ministry of Finance, *Draft 2008 Handbook on Provincial Budgeting* (Kabul: 2008).

[20] Even budget submissions by primary budgeting units (ministries and national agencies) have been found lacking with “very rough cost estimations and a vague wish-list for their new spending proposals.” See Ministry of Finance’s *Medium-Term Budget Framework*, (Kabul: 2010), 15.

Figure G.1 - CERP Project Approval Checklist

CERP PROJECT APPROVAL CHECKLIST

RC/TF: _____ UNIT: _____ AMOUNT: _____

CIDNE PROJECT #: _____ PROJECT MANAGER: _____

CIDNE PROJECT TITLE: _____

*The Project Manager is responsible for maintaining all project documentation and uploading it to CIDNE. Required documentation is indicated below and is required based on the details provided in each item's description.

**Check each requirement listed below as not all documents are needed for each and every project and many of the items can be accomplished simultaneously or in different order than as shown.

1.		Independent Government Cost Estimate (IGCE) & Methodology	An IGCE must be included for all projects over $30K. It is not required for projects that are less than $30K. The IGCE must clearly identify, define, and show the costs associated with the project. The IGCE is an **independent estimate**; therefore it will not be based on bids received that will potentially be put onto contract for the project. This document serves as your comparison tool for the bids that you receive and is your benchmark in terms of cost. IGCEs can be obtained by historical data and/or professional sources to include U.S. Regional Contracting Centers, USACE, USAID, & others. Accompanying the IGCE will be the Cost Methodology Memo, which will identify who and what organization created the IGCE, as well as the methodology used to obtain or create the costs that are depicted on the IGCE. It will explain how the IGCE was created.
2.		Statement of Work	This document is required for all projects that purchase a service or involve construction. For projects that only involve the purchase of goods, a Bill of Goods, will replace the Statement of Work (SoW). The SoW will address the schedule of work, frequency of work or service, who is responsible for what actions, what work or service will be provided, how that work or service will be provided in detail, and what standard must be met.
3.		Appointment, Authorization, Training Letters & Certificates	Program Manager will verify that these documents are on file. Include the Project Manager, Project Purchasing Officer, Paying Agent certificates of training, nomination, appointment letters when applicable. All documents must be uploaded into CIDNE.
4.		Afghan Development Report (ADR)	This report is populated in the CIDNE database and serves as the project overview in CIDNE, which is the database of record for the CERP. All relevant fields must be populated and the ADR must be updated as the project progresses, is completed, and closed out (project status, payments, changes, etc). When the project is approved add signature blocks to the ADR, click "export to MS Word," add in appropriate signature blocks, print out, get signed, & upload back into the ADR in the "Media" section. The ADR must be signed by the Requesting Unit US Mil Commander, Project Manager, Program Manager, and Legal when applicable.
5.		Funding Docs (PR&C, MIPR, etc)	Include the funding document that is relevant for the project. Most projects will utilize the PR&C to obtain funding. For the PR&C, the Project Mgr will fill in blocks 27-30, the Program Mgr will fill in blocks 31-33, and the approving CDR will fill in blocks 34-36. For interdepartmental purchases, a MIPR will be used. When using a MIPR, ensure that you include the Economy Act Order that provides the authority for the MIPR. In the MIPR's justification section, focus on the requirement, the urgent humanitarian need that is being addressed, the IGCE, and that the selected agency is the most appropriate to execute the project based on its operational requirements.

6.		Contract	A draft contract is required for project nomination (if less than $500K). A signed contract is required for project file records after it is approved. The contract must include appropriate name listed in block 31 and all modifications (to include cost increases, decreases, terminations, and change in terms).
7.		Subordinate CDR's Approval Memo(s)	If the project is being routed up one level of command for approval, then the LoJ will serve as the subordinate CDR's approval memo; however, if a project is being routed up several levels of U.S. CDRs for approval, then it will require a CDR's Approval Memo for each level of authority that it passes through. [For example, if a project is initiated within an U.S. O-5 CDR's organization and costs $400K, then it will have to be approved at the Regional Command (RC) level. This project package will include the LoJ from the O-5 and the O-6 CDR's Approval Memo once it gets to the RC for approval. CDR's Approval Memos will be accomplished by their staff for the CDR to sign. Using the above example, the O-6's staff and the RC CERP staff will draft up the approval letter for the O-6 and the RC CDR to sign respectively].
8.		Storyboard	This is required for all projects that are meeting the CERP Review Board (CRB) and will provide an overview of your project that the CRB Members will reference to analyze your project. It must be able to tell the story of your project and include grid coordinates. You must include a map for road or bridge projects.
9.		Pics, Maps, Blueprints, Drawings, etc	Include all other visual aids that will strengthen your project file.
10.		Legal Review(s)	All projects must be reviewed by legal. Projects that are greater than $30K require a traditional legal review by a U.S. Staff Judge Advocate (SJA). For projects that are less than $30K, a traditional legal review is not required; instead, a SJA signature block and signature are required on the ADR (print out, sign, & load in CIDNE). For projects that require multiple levels of U.S. CDR approval, each CDR will have their SJA review the project and provide a legal review.
11.		Correspondence	Include any correspondence that is relevant to the project within the project file. This may include emails, notes, letters, etc. from NGOs, DoD agencies, USAID, and GIRoA agencies.
12.		Coordination Memos	Coordination memos are required when a CERP project is being conducted by an unit that does not own the battlespace. The unit that is planning and executing the CERP project must coordinate, in a memo, with the nearest PRT, Task Force, and/or RC if the executing unit is not part of these units. This is just a coordination effort; it provides the battlespace owners awareness of CERP projects that are taking place in their AO and allows for de-conflicting efforts to take place.
13.		Right of Entry Memo	This document is required for any project that involves any type of construction or refurbishment and has an estimated cost of $50K or more. This document must identify who owns the land (individual or organization), must explicitly authorize U.S.'s use of the land, and must be signed by the CERP Project Manager and the land owner or GIRoA representative.
14.		Sustainment Memo of Agreement	This document is required for projects that have a cost greater than $50K that involve purchasing equipment or construction. This document must be signed by a USG employee (should be the CERP Project Mgr) and by the organization, agency, or ministry (needs to be an official with the appropriate authority within the sustaining agency) that is agreeing to maintain and sustain the project once complete. The document must address what agency will be sustaining the project once complete and what capabilities that agency has to sustain the project (for example, they have the human resources, budget, space, etc to sustain the project).

15.	_____	Letter of Justification (LoJ)	This document is required for all projects equal to or greater than $50K. For projects of $50K or less, the O-5 level U.S. Commander's signature and typed name/position/date on the ADR may be submitted in lieu of this memorandum. The signed ADR must be uploaded to the Media tab. The PM will create the LoJ and it must be signed by the initiating U.S. Commander. The LoJ will provide the justification for the CERP project as well as an overview of the proposed CERP project and what effects it will have in the community, to the GIRoA, or for the Afghan people.
16.		Completed CERP Project Approval Checklist	

Figure G.2 - APPOINTMENT /TERMINATION FORM (DD FORM 577)

APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE

(Read Privacy Act Statement and Instructions before completing form.)

PRIVACY ACT STATEMENT

AUTHORITY: E.O. 9397, 31 U.S.C. Sections 3325, 3528, DoDFMR, 7000.14-R, Vol. 5.
PRINCIPAL PURPOSE(S): To maintain a record of certifying and accountable officers' appointments, and termination of those appointments. The information will also be used for identification purposes associated with certification of documents and/or liability of public records and funds.
ROUTINE USE(S): The information on this form may be disclosed as generally permitted under 5 U.S.C Section 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the the Federal Reserve banks to verify authority of the accountable individual to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published in the Federal Register.
DISCLOSURE: Voluntary; however, failure to provide the requested information may preclude appointment.

SECTION I - FROM: APPOINTING AUTHORITY

1. NAME *(First, Middle Initial, Last)*	2. TITLE	3. DOD COMPONENT/ORGANIZATION
4. DATE *(YYYYMMDD)*	5. SIGNATURE	

SECTION II - TO: APPOINTEE

6. NAME *(First, Middle Initial, Last)*	7. SSN	8. TITLE
9. DOD COMPONENT/ORGANIZATION	10. ADDRESS *(Include ZIP Code)*	
11. TELEPHONE NUMBER *(Include Area Code)*	12. EFFECTIVE DATE OF APPOINTMENT *(YYYYMMDD)*	

13. POSITION TO WHICH APPOINTED *(X as applicable (one only))*

☐ DISBURSING OFFICER	☐ DEPUTY DISBURSING OFFICER	☐ DISBURSING AGENT
☐ PAYING AGENT	☐ CASHIER	☐ COLLECTION AGENT
☐ CHANGE FUND CUSTODIAN	☐ IMPREST FUND CASHIER	☐ CERTIFYING OFFICER
☐ DEPARTMENTAL ACCOUNTABLE OFFICIAL		

14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY IDENTIFIED IN ITEM 13. YOUR RESPONSIBILITIES INCLUDE:

15. YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED:

SECTION III - ACKNOWLEDGEMENT OF APPOINTMENT

I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that my official signature is shown in item 17 below.

16. PRINTED NAME *(First, Middle Initial, Last)*	17. SIGNATURE

SECTION IV - TERMINATION OF APPOINTMENT

	18. DATE *(YYYYMMDD)*	19. APPOINTEE INITIALS
The appointment of the individual named above is hereby revoked.		

20. NAME OF APPOINTING AUTHORITY	21. TITLE	22. SIGNATURE

DD FORM 577, FEB 2011 PREVIOUS EDITION IS OBSOLETE. Adobe Professional 8.0

Figure G.3 - Letter of Justification

HEADQUARTERS

UNITED STATES FORCES-AFGHANISTAN

KABUL, AFGHANISTAN

<UNIT> <Date>

MEMORANDUM FOR Commander, USFOR-A

SUBJECT: Letter of Justification for CERP < Project #/Title>

1. PURPOSE: This should be a description of the project and should address the existing situation or status quo.

2. JUSTIFICATION: The justification should give a synopsis of what the project will do, how it will benefit the local population, and how it will support RC COIN desired effects (this is the project goal and should address how it benefits the GIRoA and its people). The justification should clearly articulate how the project meets the URGENT AND IMMEDIATE HUMANITARIAN RELIEF standard for CERP projects and the category the project falls within. It must also discuss the sustainability of the project. The statement: *"Reasonable measures have been taken to ensure that other aid and reconstruction funds (local, national, donor nation, non-government organization (NGO) or other resources) are not available"* should be inserted into this justification along with details on how that was accomplished (explain what measures you took to ensure that other funds are not available, reference the research you performed or the coordination efforts below that provided the assurance). Must also discuss relationship to other successful CERP projects and the executability of the project. Issues such as security and likely mitigation steps must be fully divulged.

3. COORDINATION: All projects must be coordinated with the proper GIRoA entities, Regional Command (RC) Commanders, and nearest Provincial Reconstruction Teams (PRTs). The coordination that has taken place should be listed here (documentation will be included in the project file). Also, include any other coordination that has taken place (USAID, etc). The outcome of the coordination and anything that the local, provincial, or national government has committed to accomplish with respect to the project shall also be included. This section should also include a summary of the plan to transfer the project to the GIRoA, as well as, the identification of any recurring operations and maintenance requirements. *(The sustainment Memorandum of Agreement with the GIRoA for construction and equipment projects ($50K or more) must be included with the packet).*

4. GOODS AND SERVICES: This should list all requirements the contractor is required to do in order to complete the project. If a detailed Statement of Work or bill of goods/materials is attached, reference it here.

5. PERFORMANCE PERIOD: This should be the schedule of execution or the timetable for the project.

6. LOCATION: Include Province, District, City and a 10-digit grid coordinate (MGRS) if applicable. Roads and bridge projects should have a starting and ending grid coordinate.

7. EMPLOYMENT: List the number of local Afghans engaged in or employed during the performance period (short term) and the number employed after completion (long term).

8. PROJECTED COST: Estimated cost of the project.

9. PROJECT PERFORMANCE METRICS: Using the situation that needs improvement as the baseline (the status quo), state the specific units of measure and methodology that will be applied to measure progress as the project develops the degree to which project achieved the intended purpose upon completion (Include how and when the measurements will be taken).

a. DOD FMR METRICS: Summarize the immediate and direct benefit to the local population. Describe the sustainability of the project. Annotate the name and authority of the local partner. Identify the number of local civilians benefiting from the project. Address the executability of the project. Define the relationship to similar efforts, such as replicating other successful CERP Projects.

b. DESIRED EFFECT & EXPECTED IMPACT: Summarize the prospective results from the completed project. What is the end state of the project/programs?

10. COIN STRATEGY AND COIN CONTRACTING: Describe how this project will support the local Commander's COIN Strategy. Include details of how it addresses the overall COIN Strategy. Finally, also describe how COIN contracting will be incorporated into the project.

11. IMPACT IF NOT FUNDED: Possible negative outcomes if the project is not funded.

12. POINT OF CONTACT: All contact information of the individual who will answer questions that arise during the staffing process.

O-5 LEVEL U.S. COMMANDER'S (OR ABOVE)
SIGNATURE BLOCK

Figure G.4 - LUA/Right to Entry

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

`

UNIT XX DATE

MEMORANDUM FOR Commander, UNIT

SUBJECT: Right to Entry

1. The purpose of this memorandum is to certify that appropriate and rightful keeper of the land (signature below) agrees to allow the CERP Project Manager (signature below) to enter on the agreed upon land to execute CERP Project ######, Project Title.

2. This right of entry is granted for the life of the project (or for the specific estimated project timeline).

3. Upon the project's completion this right of entry is voided.

4. Provide location data (MGRS coordinates) of the project.

5. The point of contact for this action is CPT JOHN P. SMITH, CERP PM, DSN XXX-XXXX or e-mail john.p.smith@afghan.swa.army.mil and (name), Ministry of XXXX, Position, Phone XXXXXX or email XXXXXX@gmail.com.

JOHN P. SMITH
CPT, USA
CERP Project Manager, XX BN

XXXXXX
Ministry of XXXXX
XXXX District/Province, Afghanistan

Figure G.5 - PR&C

PURCHASE REQUEST AND COMMITMENT For use of this form, see AR 37-1; the proponent agency is OASA(FM).	1. PURCHASE INSTRUMENT NO. CIDNE # (last 6 digits)	2. REQUISITION NO. RM Office's Doc #	3. DATE Date Prepared	PAGE OF PAGES
4. TO: Up to $500K: Input Finance Office that will be issuing the funds $500K or Greater: Input Contracting Office that will be	5. THRU: Put Resource Management Office Address		6. FROM: Requesting Unit's Address	

It is requested that the supplies and services enumerated below or on attached list be:

7. PURCHASED FOR	8. DELIVERED TO	9. NOT LATER THAN (Date)
Commander's Emergency Response Program	Input PO's/PM's rank/name or the individual receiving	

The supplies and services listed below cannot be secured through normal supply channels or other Army supply sources in the immediate vicinity, and their procurement will not violate existing regulations pertaining to local purchases for stock, therefore, local procurement is necessary for the following reason: *(Check appropriate box and complete item.)*	10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION Input PO's or PM's rank/name	11. TELEPHONE NUMBER Input PO's/PM's DSN

	12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY		13. REQUISITIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY

FUND CERTIFICATION

The supplies and services listed on this request are properly chargeable to the following allotments, the available balances of which are sufficient to cover the cost thereof, and funds have been committed.

EMERGENCY SITUATION PRECLUDES USE OF REQUISITION CHANNELS FOR SECURING ITEM

14. ITEM	15. DESCRIPTION OF SUPPLY OR SERVICES	16. QUANTITY	17. UNIT	18. ESTIMATED UNIT PRICE *a*	18. ESTIMATED TOTAL COST *b*
1	CDR'S EMERGENCY RESPONSE Input the CIDNE Project Tit List Items if purchasing equipment or Input CIDNE # (14-digits) PM: (Rank & Name) PO: (Rank & Name) (if applicable) PA: (Rank & Name) (if applicable)				

19. ACCOUNTING CLASSIFICATION AND AMOUNT

Fund cite (provided by RM Office)

20. TYPED NAME AND TITLE OF CERTIFIYING OFFICER	21. SIGNATURE	22. DATE
Input Certifying Official's Signature Block		

23. DISCOUNT TERMS

NET

24. PURCHASE ORDER NUMBER

25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE

Provide a short description about the project (should be similar, if not, verbatim from CIDNE--space allowing).

26. DELIVERY REQUIREMENTS

ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES? YES ☐ NO ☐

IF YES, NUMBER OF DAYS REQUIRED:

27. TYPED NAME AND GRADE OF INITIATING OFFICER	28. SIGNATURE	29. DATE
30. TELEPHONE NUMBER Input PM's DSN		
31. TYPED NAME AND GRADE OF SUPPLY OFFICER CERP Mgr's Rank and Name	32. SIGNATURE	33. DATE

34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE	35. SIGNATURE	36. DATE
Input the Approving Official's Rank and Name (in accordance with the USFOR-A CER		

DA FORM 3953, MAR 91 EDITION OF AUG 76 IS OBSOLETE USAPPC V1.10

Figure G.6 - Sustainment Agreement

MEMORANDUM OF AGREEMENT

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

BETWEEN
THE COMMANDER, U.S. FORCES—AFGHANISTAN, KABUL
AND
THE DIRECTOR, MINISTRY OF PUBLIC WORKS

SUBJECT: Sustainment Agreement for Title of the CERP Project

1. The purpose of this document is to memorialize an agreement between the Commander, USFOR-A, and the Director of the Ministry of Public Works.

2. By and through this agreement, the Director of the Ministry of Public Works, (name of the Director), agrees to be responsible for the operation and maintenance of the <Title of the CERP Project>, to include staffing, routine maintenance, and supplies, once construction has been completed and the <insert type of structure (i.e. clinic, school)> has been transferred to the GIRoA. The estimated recurring operations and maintenance costs for this facility are $/Afghani. The Director has the capability to sustain this project and the sustainment cost associated with it. The Director has the available staff and budget to support the sustainment of this project.

3. Nothing in this Memorandum of Agreement authorizes the commitment or obligation of appropriated funds of the United States of America prior to their availability, or in violation of any applicable statute, regulation or policy of the government of the United States of America.

4. This document expresses the participants' intent to achieve the goals of this project. The participants intend for this project to benefit the local community and its people for years to come. It is not, however, a legal instrument that binds the participants under international law. Rather, it embodies the aspirations towards which the participants strive.

5. After the construction and transfer of authority are complete, the United States Armed Forces will return periodically to check on the condition of the facility. If the facility is not in satisfactory condition, future CERP projects may be cancelled in this area.

NAME Rank Commander, <Unit> (Date)	NAME Director Ministry of Public Works (Date)

Figure G.7 - Standard CERP Contract

CERP CONTRACT	1. UNIT	2. TYPE OF SOLICITATION	3. DATE ISSUED (DDMMMYY)	4. PAGE OF PAGES		
		☐ SEALED BID (IFB) ☐ NEGOTIATED (RFP)		1	OF	2

IMPORTANT -- THE "OFFER" SECTION ON THE REVERSE MUST BE FULLY COMPLETED BY THE OFFERER.

5. CONTRACT NUMBER	6. INITIAL REQUISITION/PURCHASE REQUEST NUMBER	7. PROJECT NUMBER

8. ISSUED BY	CODE	9. ADDRESS OFFER TO	CODE

10. FOR INFORMATION CALL:	A. PURCHASING OFFICER/UNIT REP NAME:	B. TELEPHONE NUMBER:

SOLICITATION

NOTE: IN SEALED BIDS SOLICITATIONS "OFFER" AND "OFFERER" MEAN "BID" AND "BIDDER".

11. THE GOVERNMENT REQUIRES PERFORMANCE OF THE WORK DESCRIBED IN THESE DOCUMENTS (TITLE, IDENTIFYING NUMBER, DATE)

CIDNE PROJECT #: *(14-digits)*	
CIDNE PROJECT TITLE:	
LOCATION: *(Province/District/MGRS)*	
ESTIMATED START DATE: *(DDMMMYY)*	

The Statement of Work attached to this agreement is hereby incorporated into and made part of this contract. This contract is subject to the availability of funds.

12. THE CONTRACTOR SHALL BEGIN PERFORMANCE WITHIN _____ CALENDAR DAYS AND COMPLETE IT WITHIN _____ CALENDAR DAYS AFTER RECEIVING: ☐ AWARD, ☐ NOTICE TO PROCEED.

THE PERFORMANCE PERIOD IS : ☐ MANDATORY, ☐ NEGOTIABLE *(SEE* _____*)*

13A. THE CONTRACTOR MUST FURNISH ANY REQUIRED PERFORMANCE PAYMENT BONDS? *(IF "YES" INDICATE WITHIN HOW MANY CALENDAR DAYS AFTER AWARD IN ITEM 13B)*	13B. CALENDAR DAYS
YES ☐ *NO* ☐	

14. ADDITIONAL SOLICITATION REQUIREMENTS

A. SEALED OFFERS IN ORIGINAL AND _____ COPIES TO PERFORM THE WORK REQUIRED ARE DUE AT THE PLACE SPECIFIED IN ITEM 8 BY _____ *(HOUR)* LOCAL TIME _____ *(DATE)*. IF THIS IS A SEALED BID SOLICIATION, OFFERS WILL BE PUBLICLY OPENED AT THAT TIME. SEAL ENVELOPES CONTAINING OFFERS SHALL BE MARKED TO SHOW THE OFFERER'S NAME AND ADDRESS, THE SOLICITATION NUMBER AND THE DATE AND TIME OFFERS ARE DUE.

B. AN OFFER GUARANTEE ☐ IS ☐ IS NOT REQUIRED.

C. ALL OFFERS ARE SUBJECT TO THE (1) WORK REQUIREMENTS, AND (2) OTHER PROVISIONS AND CLAUSES INCORPORATED IN THE SOLICITATION IN FULL TEXT OR BY REFERENCE.

D. OFFERS PROVIDING LESS THAN _____ CALENDAR DAYS FOR GOVERNMENT ACCEPTANCE AFTER THE DATE OFFERS DUE WILL NOT BE CONSIDERED AND WILL BE REJECTED.

STANDARD FORM CERP

CERP CONTRACT (CONTINUED)	PAGE OF PAGES		
	2	OF	2

15. NAME AND ADDRESS OF OFFER *(INCLUDE ZIP CODE)*	16. TELEPHONE NUMBER *(INCLUDE AREA CODE)*
	17. REMITTANCE ADDRESS *(INCLUDE IF DIFFERENT THAN ITEM 15)*
CODE / FACILITY CODE	

18. THE CONTRACTOR AGREES TO PERFORM THE WORK REQUIRED AT THE PRICES SPECIFIED BELOW IN STRICT ACCORDANCE WITH THE TERMS OF THIS CONTRACT FOR THE AMOUNT STATED:

AMOUNTS (USD) ▶ *in the equivalent amount of the legal currency of the Government of the Islamic Republic of Afghanistan*

19. THE OFFER AGREES TO FURNISH ANY REQUIRED PERFORMANCE AND PAYMENT BONDS.

20. ACKNOWLEDGEMENT OF AMENDMENTS

(The Offerer acknowledges receipt of amendments to the solicitation -- give number and date of each.)

AMENDMENT NO.										
DATE (DDMMMYY)										

21A. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN AMENDMENT	21B. SIGNATURE	21C. DATE

AWARD *(TO BE COMPLETED BY GOVERNMENT)*

22. ITEMS ACCEPTED

23. AMOUNT	24. CONTRACT AMOUNT IN AFGHANIS/EXCHANGE RATE
	Rate of exchange is the rate at the time of draw at the US disbursement point.

25. SUBMIT INVOICES TO ADDRESS SHOW IN ▶	ITEM	28	26. Accounting and Appropriation Data:

27. ADMINISTERED BY	CODE		28. PAYMENT WILL BE MADE BY

CONTRACTING OFFICER WILL COMPLETE ITEM 29 OR 30 AS APPLICABLE

☐ 29. NEGOTIATED AGREEMENT *(Contractor is required to sign this document and return_____ copies to the issuing office)*. Contractor agrees to furnish and deliver all items or perform all work requirements identified on this form and any continuation sheets fro the consideration stated in this contract. The rights and obligations of the parties to this contract shall be governed by (a) this Contract award, (b) the solicitation, (c) the clauses, representations, Certifications, and specifications incorporated by reference in or attached to this Contract.

☐ 30. AWARD. (Contractor is not required to sign this document). Your offer on this solicitation is hereby accepted as to the items listed. This award consummates the Contract, which consists of (a) the Government solicitation and your offer and (b) this Contract award. No further contractual document is necessary.

31A. NAME AND TITLE OF CONTRACTOR OR PERSON AUTHORIZED TO SIGN		32A. NAME OF UNIT CONTRACTING REPRESENTATIVE	
31B. SIGNATURE	31C. DATE	32B. UNITED STATES OF AMERICA BY:	32C. DATE

STANDARD FORM CERP

EXCLUDED PARTIES LIST VERIFICATION <UNIT> CERP PROJECTS	
CIDNE Project Number (14-digits)	
CIDNE Project Title:	
Location (Province/District/MGRS):	
Name of Contractor:	
Name of Company:	

A search was performed on the government Excluded Parties List database to verify that the above named contractor is not banned from participation in government contracts. All known aliases and variations of company name were checked and no positive results were found in the database.

Date Search was Performed on:	
Conducted by:	

Figure G.8 - Fund Increase Memo/Request for Additional Funds

< USE OFFICIAL UNIT LETTERHEAD>

Date

MEMORANDUM FOR <Appropriate Approving Official>

FROM: <REQUESTING UNIT>

SUBJECT: Request for Additional Funding for CERP Project <#, Title>

1. <Unit> is requesting additional funds for document # <insert document #>. The accounting classification is:

21 0 2020.0000 8A-2084 P136198.0000 ***EOR*** *83****APC DRN APC****83 S09076*

Initial PR&C Amount: $_____
1st Requested Amount: $_____
2nd Requested Amount: $_____
New Total Amount: $_____

2. The justification for the increase is (circle and provide explanation as appropriate):
a. Initial estimate too low for competitive quotes
b. Administrative mistake
c. Change in initial PR&C requirement
d. Change in initial PR&C quantity
e. Other:_____

3. Explanation for the increase: <Input explanation for the increase. For example, the PO and PRT engineer underestimated the cost of building the school. The original cost estimate erroneously left out a generator, a guard house, and furniture for the students and teachers.>

<Input Signature Block of PM> <Input Signature Block of Approving Official>

<Input Signature Block of Program Manager> <Input Signature Block of CERP Resource Mgr>

Figure G.9 - Storyboard Slide

UNCLASSIFIED//FOR OFFICIAL USE ONLY

<PROJECT # & TITLE>

LOCATION:

DESCRIPTION: Brief explanation of the project, with quantifiable details

INSERT MAP OR PICTURE

ESTIMATED COST ($):

CERP CATEGORY:

LOOs SUPPORTED: (Governance, Development, Security and/or Information Operations)

DESIRED EFFECTS: What are the tangible goals the unit is trying to achieve with this project? How long will they take to accomplish? Why are these results necessary to satisfy urgent humanitarian or reconstructive needs of the Afghan people?

PERFORMANCE METRICS: Based on the DoD FMR guidance (para 270315)

-
-
-
-
-
-
-

UNCLASSIFIED//FOR OFFICIAL USE ONLY

Figure G.10 - Commander's Approval Memo

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

XXXXXX

MEMORANDUM FOR Commander, XXXXX

SUBJECT: CERP Project #XXXXXX, Project Title

1. Water is recognized as a critical facet of Afghan livelihood. About 85 percent of the population of Farah is involved in irrigation dependent agriculture. 98 percent of all water diverted from rivers and mountain runoff is used for agriculture however, 60 percent or more of that water is lost to seepage and poor farming practices. This project is to construct check dams that will reduce water speed, reduce silt, and keep the water present in the immediate area for a longer period of time. By capturing and holding small pools of water within the watershed, it will provide irrigation ponds for crops and drinking water for livestock. The pooling water will also increase ground water tables that support wells and Karizes providing a more reliable and stable source of water year round.

2. The subject CERP project was unanimously recommended for approval by the USFOR-A CERP Board convened 23 Sep 2010.

3. Reasonable measures have been taken to inquire about other aid and reconstruction funds that might be available for this project and none are available or more appropriate than CERP. The Acting Director of Department of Water and Irrigation has signed a memorandum of understanding for maintenance and sustainment of the dams. This project meets CERP criteria as outlined in DoD Financial Management Regulation, Volume 12, Chapter 27.

4. Point of contact for this action is Maj John R. Smith, the XXXX CERP Program Manager, email:john.r.smith@afghan.swa.army.mil, DSN XXX-XXX-XXXX.

Encl
CERP Project Documentation

JOHN P. SMITH
COL, USA
Commander

Figure G.11 - Commander's Approval Thru Memo

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

XXXXX - Unit that the memo is coming from

MEMORANDUM THRU Commander, XXXX BDE

Commander, Regional Command - XXXX

Commander, United States Forces-Afghanistan

FOR Commander, United States Central Command

SUBJECT: Commander's Emergency Response Program (CERP) Project #(XXXXXX) ' Project Title

1. Afghanistan's Ministry of Education has established a severe shortfall in the printing of 4,496,400 textbooks to support anticipated enrollment rates of 11th grade students through the year 2014. .This project will directly support the academic needs of students throughout Afghanistan in the subjects of mathematics, science, language, civics, history, and cultural studies. Printed textbooks will be supplied to all districts throughout Afghanistan to provide teacher curriculum, student learning, and educational activities.

2. The subject CERP project was unanimously recommended for approval by the USFOR-A CERP Board convened 30 Sep 10.

3. The USFOR-A has taken reasonable measures to inquire about other aid and reconstruction funds that might be available for this project and none are available or more appropriate than CERP. The Government of the Islamic Republic of Afghanistan through its Ministry of Education will provide the costs for future maintenance and sustainment of this project, once complete.

4. Point of contact for this action is Maj John R. Smith, the XXXX CERP Program Manager, email:john.r.smith@afghan.swa.army.mil, DSN XXX-XXX-XXXX.

Encl
CERP Project Documentation

JOHN P. SMITH
LTC, USA
Commander, XXX BN

Figure G.12 - IGCE/COST METHODOLOGY

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

<UNIT>
<Date>

MEMORANDUM FOR XXX CERP Program Manager

SUBJECT: IGCE Methodology Memo < Project #/Title>

1. This memo serves as the explanation on how the cost estimate for this CERP project was generated. Address who created the IGCE and what method was used to generate the estimated cost.

2. POINT OF CONTACT: All contact information of the individual who will answer questions that arise during the staffing process.

Project Manager's
SIGNATURE BLOCK

Figure G.13 - Project Clearance Memo

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

UNIT SYMBOL DATE

MEMORANDUM FOR RECORD

SUBJECT: Clearance of Commander's Emergency Response Program (CERP) <Project #/Project Title>

1. Reference:

a. DoD Financial Management Regulation, Volume 12, Chapter 27, dated January 2009

b. USFOR-A Publication 1-06, dated XX XXX XX, Money As A Weapons System-Afghanistan.

2. I certify that all documentation required per Chapter 2 of the MAAWS-A CERP SOP has been accounted for in the project file and **has been uploaded to CIDNE.**

3. I certify that all expenditures made for this project, reference DA Form 3953 (PR&C) document number <PR&C document number> were in accordance with the DoD FMR 7000-14.R, Volume 12, Chapter 27, and the MAAWS-A publication.

4. I certify that the project has been completed and all payments have been made in full to (insert name of the vendor/contractor). Contract <insert document number> was awarded on <date> for $90,000, <$XXXX> has been disbursed, and the remaining <$XXX> has been returned to the responsible Disbursing Officer. Also, the PO has de-obligated the remaining amount from the contract and provided the contract modification to the RM Office.

5. The following individuals were assigned to this project:

a. PM: <Insert Rank, Name, Email, DSN Number, Home Station Unit>
b. PO: <Insert Rank, Name, Email, DSN Number, Home Station Unit>
c. PA: <Insert Rank, Name, Email, DSN Number, Home Station Unit>

O-5 level U.S. Commander (or above)
Signature block

Figure G.14 - Transfer of Authority Memo

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

DATE

MEMORANDUM FOR RECORD

SUBJECT: Commander's Emergency Response Program (CERP) Transfer of Authority

1. Reference:
a. USFOR-A Publication 1-06, dated XX XXX XX, Money As A Weapons System-Afghanistan.

2. A CERP Transfer of Authority (TOA) was conducted between (outgoing unit) and (incoming unit) from (start date) to (end date). The TOA included a review of all nominated, committed, obligated, and completed projects.

3. All project files were inventoried and signed for by the incoming unit. Deficiencies or missing documentation were identified and annotated on enclosures 1 – 4 attached. The incoming unit assumes responsibility for maintaining all transferred project files.

4. The incoming unit assumes responsibility for all open projects listed on enclosures 2-3. The outgoing and incoming project managers/purchasing officers conducted a thorough review of each project.

5. Enclosure 1 lists all unapproved, nominated projects for the incoming unit's consideration and possible execution.

6. The outgoing unit remains pecuniary liable and administratively responsible for all negligent or illegal CERP operations conducted during their tour. This document does not relieve outgoing unit personnel of any pecuniary liability or administrative or disciplinary actions.

7. The outgoing paying agents have cleared the local Finance Office and any remaining cash-on-hand has been turned in. The incoming purchasing officers and paying agents have been appointed. The incoming unit has adequate means for securing funds for the paying agents.

Outgoing Unit Commander Signature Block	Incoming Unit Commander Signature Block
OR Outgoing PM's/PO's Sig. Block	OR Incoming PM's/PO's Sig. Bloc

Figure G.15 - Enhanced Project Management Plan (EPMP)

GUIDELINES FOR CREATING AN E-PMP
Commanders Emergency Response Program (CERP)

ENHANCED
PROJECT MANAGEMENT PLAN

for

(PROJECT TITLE)

Project Number: (14-digit CIDNE #)
At

(Location), Afghanistan

(MONTH) 20XX

INTRODUCTION

This enhanced Project Management Plan (ePMP) takes you through a process, to develop and execute a CERP project, successfully. Herein, you well find guidance, examples, and structure to assist the CERP Project Manager (PM) in delivering a sustainable project that meets the intended needs of the CERP mission, successfully provides the intended COIN effect, and ultimately, facilitates operations of the warfighter in the field. The steps within this document can be thought of as a road map to get you to that successful outcome.

This process is recommended and encouraged for all CERP projects, but is required for all projects that require CERP Board approval. While this is written with a focus on construction projects, it can be adapted for non-construction type projects.

There is an ACCESS automation tool being released to accompany the ePMP, and will assist the user with completing the ePMP document. The ACCESS tool prompts the user to populate the required fields, step by step, and after all fields are complete, the document will be generated.

THE PROJECT

A. STATEMENT OF WORK (SOW) (Brief 1-2 paragraph project description)

Insert statement of work here

What is the intended Effect? What constitutes success?

Metrics – How will the Effects be measured?

B. LOCATION (Location of Project – Region, District, Province, Military Grid Point(s)

Insert location data here

C. ESTIMATED SCHEDULE (Project commenced _____days after Final Approval and Commitment)

1. Estimated Project Approval Date: XXXXXXXXX
2. Estimated Request for Proposal (RFP) Issued: XXXXXXXXX
3. Estimated Award Date: XXXXXXXXX
4. Estimated Notice to Proceed (NTP) Date: XXXXXXXXX
5. Estimated Contract Duration: XXX days
6. Estimated Contract Completion Date: XXXXXXXXX
7. Anticipated project inspection schedule:

   a. The construction contractor or project executor should submit the construction/execution schedule to the PM for review and approval at the start of the project, and subsequently provide an updated construction schedule monthly. The Quality Assurance (QA) site inspection schedule will be tailored to fit the specific project delivery activities. It is recommended that QA site visits be conducted no less than once every two weeks, but more often is always better.

   b. It is recommended to use Local National (LN) QA's. The local Afghan partner can assign someone that will be involved with the facility, to be available and assist with QA

site activities. This will help to build ownership and capacity for sustainment of the facility, and can help get more frequent “eyes on” of the facility during execution.

D. BUDGET

Independent Government Cost Estimate (IGCE): $ XXX,XXX.XX

- FOUO when filled out; not to be shown to GIRoA or Contractor.
- Furnish source and methodology of estimate. (e.g.: past projects, contracting office, known experts).
- DO NOT source from vendors, unless project less than 30K,
- A 10% construction contingency is typically included,
- Review the Feb 2011 MAAWS-A for a detailed explanation.

CAPACITY BUILDING

This section should describe capacity building efforts that will take place during the design and construction of this project, including any training necessary for the Afghan representative(s) to be able to operate and maintain each feature. Seek opportunities to utilize local nationals (LNs) to work side-by-side with the project delivery team members, throughout each step of project development and execution. Some of these opportunities are discussed throughout this document.

MEMORANDUM OF AGREEMENT

A Memorandum of Agreement (MOA) is to be executed between GIRoA and USFOR-A, to solidify the project requirements in the Statement of Work (SOW) that are to be executed by USFOR-A and its execution agents. This establishes a clear expectation of what project facilities will be delivered. The clearer the statement of work is written, and the more details that are included, the more meaningful the agreement will be, and the less opportunity for subsequent disputes or misunderstandings of what facilities will be delivered.

The MOA for the SOW will be combined with the MOA for the Sustainment Plan, found in the “CONSTRUCTION” Section, bullet “E”. The MOA is also available in automated form, format provided in Appendix B.

CONTRACTING AUTHORITY

The construction contract is the only legal binding document necessary between USFOR-A and the contractor, and can only be legally changed by authority of the Contracting Officer (KO). The KO is the sole person with contracting authority to negotiate terms, or modify the contract. No advance payments will be made to a contractor and all work will be verified prior to making a payment. The KO will delegate the PM as the Contracting Officer’s Representative (COR), who will have limited contracting authority in the field. Any individual other than the Contracting Officer or his/her representative that attempts to obligate the Government, will be in violation of Fiscal Law and the “Anti-Deficiency” Act, and can potentially cause the need for a Flash report and a Contract Ratification.

THE PROJECT DELIVERY TEAM (PDT)

A. PROJECT MANAGER (PM). This paragraph is used to establish the experience level of the assigned PM and their ability to provide an adequate level of oversight.

1. Number of projects currently managed _____.
2. Total Dollar amount of current projects _____.

3. Past Experience. The number and total dollar amount of projects completed to date. Number of Projects _____Total Dollar Amt. _____

4. Previous Deployment experience. The number and total dollar amount of projects completed to date. Number of Projects _____ Total Dollar Amt. _____

5. Total Experience. Number of Projects _____ Total Dollar Amt. _____

6. Date scheduled for redeployment _____ .
7. Number of days left in country at time of project approval _____.

B. PDT MEMBERS

The PDT composition should be identified in this section to implement construction projects.

1. Project Manager as COR
2. Engineer(s)/Technical Support - background i.e. Mechanical, Electrical, Civil Engineer
3. Contracting Officer (KO)
4. Quality Assurance Representative (s)
5. When possible, GIRoA participants – Liaison, QA inspectors, etc…

Title	Name & Rank	Phone	Email
Program Manager			
Project Manager/COR			
Contracting Officer (KO)			
Engineer(s)/Technical Support			
Architect (as needed)			
QA Representative			
Afghan Inspectors			

C. EXECUTION STRATEGY

The PM, through this PMP, has established the expectations for execution of the project. The strategic approach is to provide clear, concise, documented instructions and guidance to the Project Manager and Project Delivery Team that will produce verifiable outcomes to satisfy the goals and objectives of the CERP mission, and successfully provide the intended COIN effects desired for operations of the warfighter in the field. It is strongly encouraged for the local project/facility POC to appoint a local Afghan team member to help facilitate project execution, communication, and ultimately, ownership and sustainability of the facility. The following project execution components are emphasized and defined as critical to successful project execution.

a. Team Members: The PM will lead the team and is responsible for overall project oversight. The PM also serves as the COR for the project construction. The other team members fill a valuable role in providing technical support and oversight. Each person assigned to this project serves a specific role and has particular responsibilities as defined by the CERP SOP and the project SOW. The KO and COR will oversee all the contractual actions between the contractor and the US Government.

b. Pre-Construction (Pre-con) Meeting: After the contract is awarded, an initial meeting will be conducted. The notice to proceed (NTP) can be issued at this meeting if not issued previously. The PM should ensure that the Contractor attend the meeting and has a full understanding of what to do and of what is expected. All stakeholders are invited to

attend, and maximum attendance of the PDT members should be encouraged. Participation by the local Afghan facility representative that will help inspect facilities, should attend as a team member. An example outline for the Pre-con Meeting agenda has been provided and is attached as Appendix D.

c. **In-Progress Reviews (IPR's):** Periodic IPR's will be conducted to assess progress and performance of the contractor. The PM will schedule the meetings, invite the participants (PDT and contractor, at a minimum) and review progress. The updated/current construction schedule will be reviewed at each meeting. The anticipated periods of review by the PM must be included in the CERP packet listed as specified dates of the month or a particular week of the month (1st, 3rd week) when the PM will make an unannounced visit to the work site. The PM will be expected to upload the results into CIDNE and keep their Commander informed on the construction progress. For USACE managed projects the Resident Management System (RMS) will be used to record construction progress.

d. **Risk Management:** Risk is the effect (positive or negative) of an event or series of events that can take place and impact your plan. It is computed from the probability of the event occurring and the impact it would have if it did (Risk = Probability X Impact). Risks needs to be assessed and a plan should be put in place, to be prepared to take action to mitigate risks when they do occur. Project risk shall be assessed initially during project development and then re-assessed throughout the project life. A Risk Management template is provided in and addressed in more detail in Section D, below.

e. **Engineering and Technical Readiness:** There should be an engineering/technical resource identified to serve on the PDT when needed during construction. In some instances there may be a Provincial Reconstruction Team (PRT) Engineer, and they can serve this purpose. The technical resources, and those that cover specialized areas of expertise need to be identified in advance and placed on the PDT.

D. RISK MANAGEMENT ASSESSMENT

A Risk Management Assessment will be developed for the project, to identify and manage potential risks to successful project execution. At the initiation of a project the PM will research historical data from similar projects, and use this information to identify potential risks. The PM will hold a Risk Management Plan meeting, invite the Project Delivery Team (PDT), and invite subject matter experts who have experience with similar projects. The group will complete the attached Composite Risk Management Table (Appendix _____, and demonstrate how the Risk Level of the project will be reduced through use of Risk Mitigation Steps.

CONSTRUCTION

A. CONSTRUCTION CONTRACT AMOUNT AND SCHEDULE

Shall be updated with actual dates of performance once the contract has been awarded.
Contracted Amount: $$ Obligated [$Fill in dollar amount with actual obligation $]

- Actual Notice to Proceed (NTP) Date: XXXXXXXXX
- Contract Duration: XXX days
- Contract Completion Date: XXXXXXXXX
- Estimated Beneficial Occupancy Date: XXXXXXXX (*Date that customer, GIROA, is scheduled to take possession of the facility)*
- Actual Beneficial Occupancy Date: XXXXXXXX
- Actual Completion Date: XXXXXXXX

B. QUALITY ASSURANCE (QA) PLAN

Quality Assurance (QA) involves the inspection of the work while it is underway. It ensures that the project will meet all specified requirements when completed. This is very important. It allows for intervention and correction, if something is being done wrong. When constructing or manufacturing a project, various components of the product will have specifications identified regarding the material and methods used for the product. This is also an opportunity to inspect the workmanship, and that procedures are being done correctly. If a problem is discovered, the COR must inform the contractor to stop what they are doing wrong and correct the deficiency. This can involve "re-work" on the part of the contractor. The items that should be included in the plan are the inspection site visit schedule, date and documentation for the pre-con/pre-execution meeting, construction milestones, and progress and payment schedule. An Example QA plan is attached as Appendix E. Additional discussion concerning these QA items is included below.

- Identify, by name, the Quality Assurance Representatives and any others assigned to perform QA management. Discuss the overall QA strategy to ensure that a quality facility is delivered. List the individual responsibilities that will be performed.

- See Appendix D for the suggested Pre-Construction meeting outline. This outline has been geared toward a construction project but can be adjusted to fit other types of projects. Provide the scheduled date for the Pre-Construction (Pre-Execution) meeting, after the contract is awarded. List those invited to participate. Attendees should include the PM, QA Reps, Local National (LN) QA inspectors, the KO, the contractor. The contractor may choose to bring others from his/her workforce. It is also valuable to include the Afghan partner who will be the end user of the project.

- Efforts should be taken to identify a local national (LN) inspector to be involved with the construction oversight. Ideally this would be an individual that will have some responsibility for the project when it is complete. The LN inspector has the opportunity to travel freely and could be on site daily, if there are activities that require more frequent inspections. This is also a good opportunity to build capacity at the local level by utilizing the LN to the "eyes and ears" for the QA that cannot travel to the site frequently.
  Note: There are QA contracts available through the USFOR-A J9 office for the Kabul Region. Please call if you'd like to explore use of this option, or establish similar contracts in your AOR.

- QA Inspection Schedule: The construction contractor shall submit his/her construction schedule for review and approval at the start of the project, and subsequently provide an updated construction schedule monthly. Identify the main construction activities, and their frequency of inspection for the QA activities. The inspection schedule should be tailored to the type of activity scheduled to take place. The US QA inspector should visit the site no less than one every two weeks.
  Examples:

  1. The QA rep will be on-site daily when the contractor is placing the concrete foundation.
  2. The QA rep will be on-site daily when the contractor is compacting the road.
  3. The QA rep will be on-site daily when the contractor is deliver fill material to the site.
  2. The QA rep will be on-site every 3days when the site is being graded.

4. The LN QA rep will be on-site every day during the duration of this contract, when work is underway, and will provide daily reports to the PM.

- QA Reports: The results of the visits should be documented with regards to the project's progress, noting any deficiencies, issues, delays, safety violations, security concerns or any other pertinent information that may affect the overall delivery of the project. An example format of a Daily Quality Assurance Report is attached as Appendix F. These documents will be uploaded into CIDNE under the corresponding project "Media Files" section so the information is properly documented and available for future historical use.

- The Contractor Payment Schedule should be included in the QA Plan, and geared to the size, complexity, and duration of the project. The payment plan must be included in the contract.

C. CONTRACTOR PAYMENT SCHEDULE

This section shall be identical to the payment plan included in the SOW and in the contract. During the progress of the project, CIDNE should be updated to reflect the progress of the project and the payments made as key milestones are met IAW the payment plan. Progress payments are typically made for construction projects on a monthly or semi-monthly basis. It is recommended to withhold a minimum of 20% of the contractor payments as retention, until the final inspection has been completed and all punchlist items have been remedied.

a. The contactor should submit invoices for payment at least monthly. Invoices shall be validated by the COR prior to payment. No advance payments will be made. Within 10 days after receipt of contractor's approved invoice, the invoice will be submitted for processing. All work that is approved for payment must be verified in the field as completed and in accordance with the specifications of the contract.

c. Twenty percent (20%) of the payment of each contractor invoice shall be retained. This 20% "retention" shall be paid out to the contractor within 10 days of final acceptance of the work by the contracting officer, following final inspection and correction of any punchlist items.

D. CIDNE DATA MANAGEMENT PLAN

The responsibilities of data management should be addressed in this section. CIDNE updates are crucial for command and control of projects and to bolster credibility to the judgment of the nominating commander. When populated, the CIDNE system fields will at a minimum inform anyone who accesses a project of project progress, changes, funds disbursement, and changes in personnel, contact information and security concerns.

- The project data must be entered in CIDNE as soon as the project is approved and a PM is assigned to the project. The PM must accurately and timely update all CIDNE data. Update should ensure that all point-of-contacts are kept current, starting with the "Project Manager of Record" field, and any changes to key contacts or leaders that may have occurred between project approval and PM assignment.

Note: As stipulated in the Feb 2011MAAWS-A, Ch .2 Para. 1.D.7, CERP PM's must ensure CIDNE is updated when the CERP project is approved, committed, obligated, disbursed and closed out/transferred.

E. SUSTAINMENT PLAN – Operations and Maintenance (O&M)

This section should outline the sustainment required and the Afghan government's capacity to staff and maintain those projects once completed. The plan must provide evidence that the relevant Afghan ministry has included sustainment of the project (staffing, maintenance, and administration) within its planning and budgeting requirements. The Afghan partner responsible to oversee the sustainment activities should be identified by name and involved in the construction progress.

- The PM will ensure they have the information from the facility designer and construction contractor to provide to the GIRoA representative so that it can be adequately sustained. This information will be consolidated into an O&M handbook. At the time the facility/project is completed, the GIRoA partner will be provided with this O&M handbook, and reviewed jointly, so that they understand what the sustainment responsibilities are. The O&M handbook will contain information about the facility and it's components that will need to be sustained by the local facility user.

- The O&M handbook should contain a list of items that will need maintenance and/or replacement, during the life of the facility, from light bulbs to generator maintenance.

- The Contractor will provide a copy of As-Built Drawings (as long as this clause is in the contract), and a copy of these drawings will accompany the O&M handbook.

- The contractor will provide a one-year warranty on material defects and workmanship (as long as this clause is in the contract).

- The GIRoA representative will be responsible to sustain items that fall outside of that warranty, and anything beyond the one-year timeframe.

- The PM must provide documentation on all relevant points of contact, including the contractor, and include them in the O&M handbook. The O&M handbook will also be saved in CIDNE.

- When developing the plan for sustainment and the O&M handbook, keep the following questions in mind.

a. What types of actions are required to keep the project in operable condition?
b. When after completion of the project will Preventive maintenance or standard repairs be expected?
c. Which company or individuals are available to provide maintenance services and where can replacement parts be purchased?
    1. Operational and mechanical maintenance.
    2. Structural, if applicable.
    3. Aesthetic (Paint, Cleaning, Landscaping, etc)
    4. Life cycle upgrades or component replacement.
d. What will the source of sustainment funds be?
e. Historical Assessment: Have similar projects in your AO been successful? List Examples, if any. How have they been maintained? Any similar projects in the country? Other Countries?

F. PROJECT CLOSEOUT PLAN

This section should describe the necessary steps to properly close out the project. Steps for closing out the project are shown in Appendix _____ and provided in a checklist, for use.

As stipulated in MAAWS-A, Section G. Project Closure, describe how the project will be turned over to the beneficiaries. The PM should also identify who will be responsible for closing out the project in CIDNE IAW MAAWS-A, Section G. Project Closure.

G. PROJECT MANAGER TRANSITION PLAN

A. PM ensures that CIDNE has all notes uploaded and information fields populated.

B. Transfer of Authority Document for RIP/TOA (required for projects not completed prior to RIP/TOA)

C. Conduct site visit(s) with replacement PM, or as part of final QA Briefing with the project nominating commander.

D. The PMP has to be complete and up-to-date, and transferred to the new PM for responsibility. The PDT list will be updated and the information for the new PM will be populated in the PMP.

H. AFTER ACTION REVIEW (AAR)

After the project has been completed, an After Action Review (AAR) will be conducted. The entire project delivery team (PDT) will meet to review the four basic components of the AAR: 1) What was Supposed to Happen?, 2) What Did Happen?, 3) Why Did it Happen That Way?, and 4) What can be Done to Improve Success Next Time?. This documentation will be saved in the CIDNE system.

a. **Approval**

The undersigned agrees to follow the provisions of this Project Management Plan (PMP) for the design and construction of the [Project Title]. The success of this project requires a cooperative team effort among all participants. Each organization will exert its influence to meet the objectives of designing and executing the project on time, within budget, and with the highest level of quality, possible. The parties agree and understand that the Project Management Plan's administration of the Commander's Emergency Response Program (CERP), the funding source for this project, serves only to supplement and apply provisions of the MAAWS-A executed in the field. Any changes or modifications to this plan must be coordinated with and approved by the undersigned or their designated representatives. At a minimum, the plan will be amended to assign replacement team members as current team members rotate out of theater. It will be the responsibility of the PM, to identify and obtain the signatures of replacement team members.

_____ _____
XXXXXXXX Date
Project Manager
[Organization]

_____ _____
XXXXXX Date
Unit Commander
[Organization]

_____ _____
XXXXXX Date

Program Manager
[Organization]

_____	_____
XXXXXX Project Engineer [Organization]	Date
_____	_____
XXXXXX Project QA Rep [Organization]	Date
_____	_____
Contracting Officers Representative [Organization]	Date
_____	_____
Contracting Officer [Organization]	Date

CERP APPENDIX CHAPTERS

1. **APPENDIX A: CERP Project Approval Checklist**
2. **APPENDIX B: MOA for Scope of Work and Sustainment Plan**
3. **APPENDIX C: Sample Project Manager Timeline**
4. **APPENDIX D: Risk Management Worksheet**
5. **APPENDIX E: Pre-Construction Meeting**
6. **APPENDIX F: Quality Assurance Sustainment Record**
7. **APPENDIX G: Project Closeout Checklist**
8. **APPENDIX H: DD Form 250**
9. **APPENDIX I: SF Form 30**
10. **APPENDIX J: SF Form 44**

APPENDIX A: CERP Project Approval Checklist

CERP PROJECT APPROVAL CHECKLIST

RC/TF - _____ UNIT: _____ AMOUNT ($): _____

CIDNE PROJECT #: _____ Project Manager: _____

CIDNE PROJECT TITLE: _____

*The Project Manager is responsible for maintaining all project documentation and uploading it to CIDNE. Required documentation is indicated below and is required based on the details provided in each item's description.
**Check each requirement listed below as not all documents are needed for each and every project and many of the items can be accomplished simultaneously or in different order than as shown.

1		Independent Government Cost Estimate (IGCE) & Methodology	An IGCE must be included for all projects over $30K. It is not required for projects that are less than $30K. The IGCE must clearly identify, define, and show the costs associated with the project. The IGCE is an **independent estimate;** therefore it will not be based on bids received that will potentially be put onto contract for the project. This document serves as your comparison tool for the bids that you receive and is your benchmark in terms of cost. IGCEs can be obtained by historical data and/or professional sources to include U.S. Regional Contracting Centers, USACE, USAID, & others. Accompanying the IGCE will be the Cost Methodology Memo, which will identify who and what organization created the IGCE, as well as the methodology used to obtain or create the costs that are depicted on the IGCE. It will explain how the IGCE was created.
2		Statement of Work	This document is required for all projects that purchase a service or involve construction. For projects that only involve purchase of goods, a Bill of Goods, will replace the Statement of Work (SoW). The SoW will address the schedule of work, frequency of work/service, who is responsible for what, what work or service will be provided, how that work/service will be provided in detail, and what standard must be met
3		Project Management Plan (PMP)	The PMP should build off the SOW and provide further planning details and describe the plan for the execution of the project, the key players, and the Quality Assurance Plan. A Project Management Plan is required for all projects with an estimated cost of $1M or more (except for supply acquisition projects).
4		Appointment, Authorization, Training Letters & Certificates	Program Manager will verify that these documents are on file. Include the Project Manager, Purchasing Officer, Paying Agent certificates of training, nomination, and appointment letters when applicable.
5		Afghan Development Report (ADR)	This report is populated in the CIDNE database and serves as the project overview in CIDNE, which is the database of record for the CERP. All relevant fields must be populated and the ADR must be updated as the project progresses, is completed, and closed out (project status, payments, changes, etc). When the project is approved add signature blocks to the ADR, click "export to MS Word," add in appropriate signature blocks, print out, get signed, & upload back into the ADR in the "Media" section. The ADR must be signed by the Requesting Unit US Mil Commander, PM, Program Manager, and Legal when applicable.
6		Funding Docs (PR&C, MIPR, etc)	Include the funding document that is relevant for the project. For the PR&C, the Project Mgr will fill in blocks 27-30, the Program Mgr will fill in blocks 31-33, and the approving CDR will fill in blocks 34-36. For interdepartmental purchases, a MIPR will be used. When using a MIPR, ensure that you include the Economy Act Order that provides the authority for the MIPR. In the MIPR's justification section, focus on the requirement, the urgent humanitarian need that is being addressed, the IGCE, and that the selected agency is the most appropriate to execute the project based on its operational requirements.

7		Contract	A draft contract is required for project nomination (if less than $500K). A signed contract is required for project file records after it is approved. The contract must include appropriate name listed in block 31 and all modifications (to include cost increases, decreases, terminations, and change in terms).
8		Subordinate CDR's Approval Memo(s)	If the project is being routed up one level of command for approval, then the LoJ will serve as the subordinate CDR's approval memo; however, if a project is being routed up several levels of U.S. CDRs for approval, then it will require a CDR's Approval Memo for each level of authority that it passes through. [For example, if a project is initiated within an U.S. O-5 CDR's organization and costs $400K, then it will have to be approved at the Regional Command (RC) level. This project package will include the LoJ from the O-5 and the O-6 CDR's Approval Memo once it gets to the RC for approval. CDR's Approval Memos will be accomplished by their staff for the CDR to sign. Using the above example, the O-6's staff and the RC CERP staff will draft up the approval letter for the O-6 and the RC CDR to sign respectively].
9		Storyboard	This is required for all projects that are meeting the CERP Review Board (CRB) and will provide an overview of your project that the CRB Members will reference to analyze your project. It must be able to tell the story of your project and include grid coordinates. You must include a map for road or bridge projects.
10		Pics, Maps, Blueprints, Drawings, etc	Include all other visual aids that will strengthen your project file.
11		Legal Review(s)	All projects must be reviewed by legal. Projects that are greater than $30K require a traditional legal review by a U.S. Staff Judge Advocate (SJA). For projects that are less than $30K, a traditional legal review is not required; instead, a SJA signature block and signature are required on the ADR (print out, sign, & load in CIDNE). For projects that require multiple levels of U.S. CDR approval, each CDR will have their SJA review the project and provide a legal review.
12		Correspondence	Include any correspondence that is relevant to the project within the project file. This may include emails, notes, letters, etc. from NGOs, DoD agencies, USAID, and GIRoA agencies.
13		Coordination Memos	Coordination memos are required when a CERP project is being conducted by an unit that does not own the battle space. The unit that is planning and executing the CERP project must coordinate, in a memo, with the nearest PRT, Task Force, and/or RC if the executing unit is not part of these units. This is just a coordination effort; it provides the battle space owners awareness of CERP projects that are taking place in their AO and allows for de-conflicting efforts to take place.
14		Right of Entry Memo	This document is required for any project that involves any type of construction and has an estimated cost of $50K or more. This document must identify who owns the land (individual or organization), must explicitly authorize U.S.'s use of the land, and must be signed by the CERP Project Manager and the land owner or GIRoA representative.
15		Sustainment Memo of Agreement	This document is required for projects that have a cost greater than $50K that involve purchasing equipment or construction. This document must be signed by a USG employee (should be the CERP Project Mgr) and by the organization, agency, or ministry (needs to be an official with the appropriate authority within the sustaining agency) that is agreeing to maintain and sustain the project once complete. The document must address what agency will be sustaining the project once complete and what capabilities that agency has to sustain the project (for example, they have the human resources, budget, space, etc to sustain the project).
16	_____	Letter of Justification (LoJ)	The PM will create the LoJ and it must be signed by the initiating U.S. Commander. The LoJ will provide the justification for the CERP project as well as an overview of the proposed CERP project and what effects it will have in the community, to the GIRoA, or for the Afghan people.
17		This Completed CERP Project Approval Checklist	

APPENDIX B: Memorandum of Agreement (MOA) For Scope of Work and Sustainment Plan

Sustainment Agreement – Construction

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

MEMORANDUM OF AGREEMENT
BETWEEN
THE COMMANDER, U.S. FORCES—AFGHANISTAN, KABUL
AND
THE DIRECTOR, MINISTRY OF PUBLIC WORKS

SUBJECT: Sustainment Agreement for Title of the CERP Project

1. The purpose of this document is to memorialize an agreement between the Commander, USFOR-A, and the Director of the Ministry of Public Works.

2. By and through this agreement, the Director of the Ministry of Public Works, (name of the Director), agrees to be responsible for the operation and maintenance (include estimated yearly O&M costs) of the <Title of the CERP Project>, to include staffing, routine maintenance, and supplies, once construction has been completed and the <insert type of structure (ie. clinic, school)> has been transferred to the GIRoA. The estimated recurring operations and maintenance costs for this facility are $/Afghani. The Director has the capability to sustain this project and the sustainment cost associated with it. The Director has the available staff and budget to support the sustainment of this project.

3. Nothing in this Memorandum of Agreement authorizes the commitment or obligation of appropriated funds of the United States of America prior to their availability, or in violation of any applicable statute, regulation or policy of the government of the United States of America.

4. This document expresses the participants' intent to achieve the goals of this project. The participants intend for this project to benefit the local community and its people for years to come. It is not, however, a legal instrument that binds the participants under international law. Rather, it embodies the aspirations towards which the participants strive.

5. After the construction and transfer of authority are complete, the United States Armed Forces will return periodically to check on the condition of the facility. If the facility is not in satisfactory condition, future CERP projects may be cancelled in this area.

NAME Rank Commander, <Unit>	NAME Director Ministry of Public Works
(Date)	(Date)

Comment [J1]: Put on unit letterhead

Comment [J2]: Change the unit designator and location, as necessary

Comment [J3]: Change the Title and Ministry as necessary

Comment [J4]: Insert title of the project (as it appears in CIDNE)

Comment [J5]: Change the unit and ministry, as necessary

Comment [J6]: Change as necessary

Comment [J7]: Insert title of the project (as it appears in CIDNE)

Comment [J8]: Update accordingly

Comment [J9]: Input the type of structure

Comment [J10]: Insert estimated dollar cost and Afghani equivalent.

Comment [jk11]: Address the organization's ability to sustain the project. Just stating that the organization can sustain the project when it is construction is not good enough.

Comment [J12]: Required phrases from USFOR-A CERP SOP. Do not change

Comment [J13]: Input Names of responsible parties.

Once complete, delete all comment bubbles. (Right-click, then click on "Delete Comment.")

Then, print for signature. Once signed, upload to CIDNE.

Sustainment Agreement - Equipment

HEADQUARTERS
UNITED STATES FORCES-AFGHANISTAN
KABUL, AFGHANISTAN
APO AE 09356

MEMORANDUM OF AGREEMENT
BETWEEN
THE COMMANDER, U.S. FORCES—AFGHANISTAN, KABUL
AND
THE DIRECTOR, MINISTRY OF PUBLIC WORKS

SUBJECT: Sustainment Agreement for the Title of the CERP Project

1. The purpose of this document is to memorialize an agreement between the Commander, USFOR-A, and the Director of the Ministry of Public Works.

2. By and through this agreement, the Director of the Ministry of Public Works agrees to be responsible for the operation and maintenance of the <Title of the CERP Project>, to include routine maintenance and fuel (include estimated yearly O&M costs), once the equipment has been received and the <insert type of equipment (ie. up-armored SUV, medical equipment)> has been transferred to the GIRoA. The estimated recurring operations and maintenance costs for this equipment are $/Afghani. The Director has the capability to sustain this project and the sustainment cost associated with it. The Director has the available staff and budget to support the sustainment of this project.

3. Nothing in this Memorandum of Agreement authorizes the commitment or obligation of appropriated funds of the United States of America prior to their availability, or in violation of any applicable statute, regulation or policy of the government of the United States of America.

4. This document expresses the participants' intent to achieve the goals of this project. The participants intend for this project to benefit the local community and its people for years to come. It is not, however, a legal instrument that binds the participants under international law. Rather, it embodies the aspirations towards which the participants strive.

5. After the equipment has been transferred to the GIRoA, the United States Armed Forces will return periodically to check on the condition of the equipment. If the equipment is not in satisfactory condition (taking into account standard wear and tear), future CERP projects may be cancelled in this area.

NAME Rank Commander, <Unit>	NAME Director Ministry of Public Works
(Date)	(Date)

Comment [J1]: Put on unit letterhead

Comment [J2]: Change the unit designator and location, as necessary

Comment [J3]: Change the Title and Ministry as necessary

Comment [J4]: Insert title of the project (as it appears in CIDNE)

Comment [J5]: Change the unit and ministry, as necessary

Comment [J6]: Change as necessary

Comment [J7]: Insert title of the project (as it appears in CIDNE)

Comment [J8]: Update accordingly

Comment [J9]: Input the type of equipment

Comment [J10]: Insert estimated dollar cost and Afghani equivalent.

Comment [jk11]: Address the organization's ability to sustain the project.

Comment [J12]: Required phrases from USFOR-A CERP SOP. Do not change

Comment [J13]: Input Names of responsible parties.

Once complete, delete all comment bubbles. (Right-click, then click on "Delete Comment.")

Then, print for signature. Once signed, upload to CIDNE.

APPENDIX C: Sample Project Manager Timeline

T=0 Contract Award

T+5 Days, Start Project - CIDNE Update

T+10 Days, Initial Site Visit - CIDNE Update

T+25 Days, Site Visit, Initial Payment (if Approved) - CIDNE Update

T+40 Days, Site Visit, Payment (if Approved) - CIDNE Update

T+50 Days, Site Visit, Project Closeout, QA/QC, Final Payment, Handover
CIDNE Update

T+80 Days, Post Execution Assessment – CIDNE Update

T+140 Days, Follow up Assessment – CIDNE Update

Appendix D: Risk Management Worksheet

(CDTCMD Reg 385-10; proponent agency is Cadet Command Safety)

1. Organization and Unit Location:	2. Page		of	

3. Mission/Task:	4. Begin Date:	5. End Date:	6. Date Prepared:

7. Operational Phase in which the Mission/Task will be conducted:

8. Tasks	9. Identify Hazards	10. Initial Risk Level	11. Develop Controls	12. Residual Risk Level	13. Implement Controls ("How To")	14. Who/How Supervised	15. Was Control Effective?

16. Determine Overall Mission/Task Risk Level After Countermeasures Are Implemented: (Circle Highest Remaining Risk Level) **LOW (L)** **MODERATE (M)** **HIGH (H)** **EXTREMELY HIGH (E)**

17. Medical Support: Advanced Trauma Life Support (ATLS) is required within 1 hour. On-site Medical Support provided (Circle one): Medic Doctor/Nurse Combat Lifesaver None

18. Prepared by: (Rank, Last Name, Duty Position)	19. Reviewed by Action Officer/Commander: (Rank, Last Name, Duty Position and Signature):

20. Risk Decision Authority (Signature Block and Signature):

Extremely High Risk: Not Applicable for Cadet Command
High Risk: CG or DCG
Moderate Risk: Brigade Cdr (0-6). At LDAC, LTC/ JCLC – Region Cdr or CoS
Low Risk: Battalion Cdr. At LDAC, LTC/ Commandant– Committee Chief or Regimental Cdr/TAC Officer

CDTCMD Form 385-1-R-E, (REV JULY 07)Risk Assessment and Risk Management Countermeasure Worksheets in CC Reg 145-3 are OBSOLETE

APPENDIX E: Pre-Construction Meeting

Pre-Construction Meeting - Suggested Outline

_____ Project
CIDNE Number _____
Pre-Construction Meeting
Date

1. Introduction and explanation of roles of all attendees. (Pass around a sign-in sheet.)

The PM/COR	Quality Assurance Representatives
Local National (LN) QA Reps	Contracting Officer
The Contractor (and designated reps)	GIRoA stakeholder(s)
Afghan Liaison	End users
Etc….	

2. Notice to Proceed is provided to contractor, if not previously provided. Contractual performance dates are reviewed.

3. Review processes for providing construction schedule and updates, how progress will be measured, who will review schedule.

4. Review frequency of In-Progress Review meetings, and their location.

5. Discuss how Requests for Information (RFI) will be handled. How to submit and who will review and respond.

6. Discuss how other submittals will be handled. How materials will be accepted.

7. Discuss Health and Safety Requirements.

8. Discuss submission of pay requests, how they should be submitted, their frequency, and how progress payments will be processed.

9. Provide all POC information. Distribute phone numbers.

10. Misc….

APPENDIX F: Quality Assurance Sustainment Record

AGENCY/UNIT NAME,

PROJECT TITLE, LOCATION

CIDNE NUMBER

Contract Number: < upon award, enter contract number>
Contractor's name: < upon award, enter contractor name >

1. PURPOSE.

This Quality Assurance Surveillance Record (QASR) provides a systematic method to evaluate performance for the stated contract. This QASR explains the following:

- What will be monitored?
- How monitoring will take place?
- Who will conduct the monitoring?
- How monitoring efforts and results will be documented?

This QASR does not detail how the contractor accomplishes the work. Rather, the QASR is created with the premise that the contractor is responsible for management and quality control actions to meet the terms of the contract. It is the Government's responsibility to be objective, fair, and consistent in evaluating performance. In addition, the QASR should recognize that unforeseen and uncontrollable situations may occur.

This QASR is a "living document" and the Government may review and revise it on a regular basis. However, the Government shall coordinate changes with the contractor. Updates shall ensure that the QASR remains a valid, useful, and enforceable document. Copies of the original QASR and revisions shall be provided to the contractor and Government officials implementing surveillance activities.

2. AUTHORITY

Authority for issuance of this QASR is provided under Contract Section E – Inspection and Acceptance, which provides for inspections and acceptance of the articles, services, and documentation called for in the contract to be accomplished by the Contracting Officer or his duly authorized representative.

3. GOVERNMENT ROLES AND RESPONSIBILITIES.

The following personnel shall oversee and coordinate surveillance activities.

a. Contracting Officer (KO) - The KO shall ensure performance of all necessary actions for effective contracting, ensure compliance with the contract terms, and shall safeguard the interests of the United States in the contractual relationship. The KO shall also assure that the contractor receives impartial, fair, and equitable treatment under this contract. The KO is ultimately responsible for the final determination of the adequacy of the contractor's performance.

b. Contracting Officer's Representative (COR) – The COR will be located at LOCATION. The COR will be responsible for technical administration of the contract, and shall assure proper

Government surveillance of the contractor's performance. The COR shall keep a quality assurance file. At the conclusion of the contract or when requested by the KO, the COR shall provide documentation to the KO. A COR is not empowered to make any contractual commitments or to authorize any contractual changes on the Government's behalf. The contractor shall refer any changes they deem may affect contract price, terms, or conditions to the KO for action.

Assigned COR: <enter name> (Once Contract Awarded)
Telephone: <enter number>
Email: <enter address>

4. PERFORMANCE STANDARDS.
Performance standards define desired services. The Government performs surveillance to determine if the contractor exceeds, meets or does not meet these standards.

The Performance Requirements Summary Matrix, shown in Table 1 below and contained in the Performance Work Statement (PWS) for this contract in paragraph X.X.X, includes performance standards. The Government shall use these standards to determine contractor performance and shall compare contractor performance to the Acceptable Quality Level (AQL).

Performance Requirement	**Performance Standard**	**Frequency of Measurement**	**Method of Surveillance**	**Date Accomplished**	**Compliance (Exceptional, VG, Sat, Marginal or UnSat)**

Table 1. Performance Standards for PROJECT TITLE
Acquisition for AGENCY and LOCATION

5. METHODS OF QA SURVEILLANCE.
Various methods exist to monitor performance. The COR shall use the surveillance methods listed below in the administration of this QASR.

Regardless of the surveillance method, the COR shall always contact the contractor's task/project manager or on-site representative when a defect is identified and inform the manager of the specifics of the problem. The COR shall be responsible for monitoring the contractor's performance in meeting a specific performance standard/AQL.

The below listed methods of surveillance shall be used in the administration of this

QASR. In addition to specific instructions that may be mentioned, the appropriate and standardized form that is to be used for documentation of QA surveillance is the Surveillance Activity Checklist/COR Report, a report template is attached.

Customer Feedback – Customer feedback may be obtained either from the results of formal customer satisfaction surveys or from random customer complaints. Customer complaints, to be considered valid, must set forth clearly and in writing the detailed nature of the complaint, must be signed and must be forwarded to the Contracting Officer Representative. The Contracting Officer Representative shall maintain a summary log of all formally received customer complaints as well as a copy of each complaint in a documentation file. The Contracting Officer Representative shall also keep the tabulated results of all customer satisfaction surveys on file and shall enter the summary results into the Surveillance Activity Checklist/COR Report.

100% Inspection - This level of inspection shall be accomplished by monitoring and documentation. Each month, the Contracting Officer Representative, shall review the generated documentation and enter summary results into the Surveillance Activity Checklist/COR Report.

Periodic Inspection - Periodic inspections shall be conducted for the potential tasks that have been identified and included in this QASR, the COR typically performs the periodic inspection on a monthly basis.

Random Monitoring - Random monitoring shall be conducted for the potential tasks that have been identified and included in this QASR, the random monitoring shall be performed by the Contracting Officer Representative.

Surveillance results may be used as the basis for actions (to include payment deductions) against the contractor. In such cases, the Inspection of Services clause in the Contract becomes the basis for the KO's actions.

6. RATINGS.

Metrics and methods are designed to determine if performance exceeds, meets, or does not meet a given standard and acceptable quality level. A rating scale shall be used to determine a positive, neutral, or negative outcome. The following ratings shall be used:

Example 1:

EXCEPTIONAL:	Performance significantly exceeds contract requirements to the Government's benefit.
VERY GOOD	Performance exceeds contract requirements to the Government's benefit
SATISFACTORY:	Performance meets contractual requirements.
MARGINAL	Performance meets some but not all contractual requirements
UNSATISFACTORY:	Performance does not meet contractual requirements.

7. DOCUMENTING PERFORMANCE.

a. ACCEPTABLE PERFORMANCE.

The Government shall document positive performance. A report template is attached. Any report may become a part of the supporting documentation for fixed fee payments, or other actions.

b. UNACCEPTABLE PERFORMANCE.

When unacceptable performance occurs, the COR shall inform the contractor. This will normally be in writing unless circumstances necessitate verbal communication. In any case the COR shall document the discussion and place it in the COR file.

When the COR determines formal written communication is required, the COR shall prepare a Contract Discrepancy Report (CDR), and present it to the contractor's task manager or on-site representative. A CDR template is attached to this QASR.

The contractor shall acknowledge receipt of the CDR in writing. The CDR will specify if the contractor is required to prepare a corrective action plan to document how the contractor shall correct the unacceptable performance and avoid a recurrence. The CDR will also state how long after receipt the contractor has to present this corrective action plan to the COR. The Government shall review the contractor's corrective action plan to determine acceptability.

Any CDRs may become a part of the supporting documentation for contract payment deductions, fixed fee deductions, or other actions deemed necessary by the KO.

8. FREQUENCY OF MEASUREMENT.

a. Frequency of Measurement.

During contract/order performance, the COR shall take periodic measurements, as specified in the AQL column of the Performance Standards Summary Matrix, and shall analyze whether the negotiated frequency of measurement is appropriate for the work being performed.

b. Frequency of Performance Assessment Meetings.

The COR shall meet with the contractor quarterly to assess performance and shall provide a written assessment.

Prepared by: <Enter name>

_____
Signature – Contracting Officer’s Representative

_____
Date

PHOENIX REGIONAL CONTRACTING CENTER
KABUL, AFGHANISTAN
APO AE 09320

PRCC COR Monthly Report – 1 May 2011
(Name/Title of Contract/Project)

Contract Number: W91JA4-xx-x-xxxx
For: (Agency Name and Location)
Contractor: NAME
Period of Performance: 30 Sept 2010 – 29 Sept 2011

1. Method of Surveillance: Described in QASR.

2. In accordance with the Inspection of Services Clause FAR 52.246-4 or FAR 52.212-4 (a) Inspections (for commercial contracts) and IAW the Contracting Officer Representative (COR) monthly surveillance schedule.

3. Quality of Work: ☒ Exceptional ☐ Very Good ☐ Marginal ☐ Marginal ☐ Unsatisfactory ☐ N/A for this month

4. Timely Performance: ☒ YES ☐ No (Explain) ☐ N/A for this month

5. Are there any significant issues that should be brought to the attention of the contracting officer?

   ☐ YES (Explain) ☒ No issues for this month

6. Action being taken by contractor to correct discrepancies

   ☐ YES ☒ No Discrepancies this month

7. COR Comments:

8. I hereby certify the services have been received and accepted:

NAME OF COR: **DATE:** 01May 2011

COR CONTACT INFORMATION: (e-mail) **DSN:** 449-4604

CONTRACT DISCREPANCY REPORT (CDR)

1. Contract Number: <insert number>

2. TO: (Contractor Task Manager or on-site representative) <insert name>

3. FROM: (Name of COR) <insert name>

4. Date and time observed **discrepancy:**

5. **DISCREPANCY OR PROBLEM:**

<Describe in detail. Identify any attachments.>

5. Corrective action plan:

A written corrective action plan < is / is not > required.

< If a written corrective action plan is required include the following. > The written Corrective Action Plan will be provided to the undersigned not later than < # days after receipt of this CDR. >

Prepared by: <Enter COR's name>

_____ _____

Signature – Contracting Officer's Representative Date

Received by:

_____ _____

Signature - Contractor Task Manager or on-site representative Date

APPENDIX G: Project Closeout Checklist

Suggested Project Close-Out Check List (Signature and date are placed in the appropriate boxes, as they are checked)			
Step	**Date**	**Signature of Responsible Party**	**Activity**
1		QAR and PM	**Construction Close-Out. Signifies that all construction is complete, including any punch list items, Actual construction completion or BOD should be identified for when the clock starts ticking on the one-year warranty.** **DD250 – Receiving Report** **DA1442, 2nd Page, Validate** **DA1449, 2nd Page, Validate**
2		PM	**Project Transfer Complete. Project O&M responsibilities transferred to GIRoA. Includes delivery of any O&M manuals in accordance with Sustainment Plan, etc…**
3		PM and KO	**The 250 Receiving Report has to match the Contractor's final invoice. Final payment made to the contractor, pay-out on any retainage owed. Contractor signs "Release of Claims".**
5		KO	**Contract Closed-out**
6		PM	**60 Day post execution Review preliminary review and assessment.**
7		PM	**120 Day Post Execution Follow Up**
			365 Day Post Execution Follow-Up
8		PM	**After Action Review. Meeting held with PDT, PM writes AAR. Consolidate all project documents.**
9		PM	**Applicable Reporting Systems Updated and Closed-Out** (CIDNE, RMS, etc…) **Complete Final Project Report (This report articulates if and how the project met its goals and the desired effects. This can be documented in the *Project Closure* section of the ADR). Include an acceptance letter, final inspection, a "Transfer of Authority Document" if required, and completion letter. Update in CIDNE.**
10		PM	**Project Close-out Complete**

APPENDIX H: DD FORM 250 (Receiving Report)

MATERIAL INSPECTION AND RECEIVING REPORT

Form Approved
OMB No. 0704-0248

The public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services and Communications Directorate (0704-0248). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE ABOVE ORGANIZATION.
SEND THIS FORM IN ACCORDANCE WITH THE INSTRUCTIONS CONTAINED IN THE DFARS, APPENDIX F-401.

1. PROCUREMENT INSTRUMENT IDENTIFICATION (CONTRACT) NO.	ORDER NO.	6. INVOICE NO./DATE	7. PAGE	OF	8. ACCEPTANCE POINT
Enter in the Contract #		Enter in invoice # and date	0	0	enter in location info

2. SHIPMENT NO.	3. DATE SHIPPED	4. B/L	5. DISCOUNT TERMS
	enter in date	TCN	Example: Net 30 days

9. PRIME CONTRACTOR	CODE	10. ADMINISTERED BY	CODE
Enter in name and address of contractor or vendor	Enter in Contractor code	Name and address of office or person executing the contract. Will either be the Regional Contracting Center's or the Purchasing Officer's info	Ex: W91B4M

11. SHIPPED FROM *(If other than 9)*	CODE	FOB:	12. PAYMENT WILL BE MADE BY	CODE
			Finance Office info for projects <$500K or use below for >$500K DFAS Rome 325 Brooks Road Rome NY 13441-4527	Ex: HQ0302

13. SHIPPED TO	CODE	14. MARKED FOR	CODE
Name and address of who the shipment is going to			

15. ITEM NO.	16. STOCK/PART NO. DESCRIPTION *(Indicate number of shipping containers - type of container - container number.)*	17. QUANTITY SHIP/REC'D*	18. UNIT	19. UNIT PRICE	20. AMOUNT
0001	Item	enter in #	EA	enter in price	$ 0.00
0002	Item				
0003	Item				
				Total	$ 0.00

21. CONTRACT QUALITY ASSURANCE

a. ORIGIN

☐ CQA ☐ ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.

DATE | SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE

TYPED NAME:

TITLE:

MAILING ADDRESS:

COMMERCIAL TELEPHONE NUMBER:

b. DESTINATION

☐ CQA ☒ ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.

00071410

DATE | SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE

TYPED NAME: enter in name

TITLE: enter in position

MAILING ADDRESS: Enter in organization and address of the above

COMMERCIAL TELEPHONE NUMBER: DSN 237-XXXX

22. RECEIVER'S USE

Quantities shown in column 17 were received in apparent good condition except as noted.

00000000

DATE RECEIVED | SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE

TYPED NAME: enter in name

TITLE: enter in position

MAILING ADDRESS: organization and address of the above

COMMERCIAL TELEPHONE NUMBER: DSN 237-XXXX

** If quantity received by the Government is the same as quantity shipped, indicate by (X) mark; if different, enter actual quantity received below quantity shipped and encircle.*

23. CONTRACTOR USE ONLY

DD FORM 250, AUG 2000 PREVIOUS EDITION IS OBSOLETE

APPENDIX I: SF FORM 30 (Amendment of Solicitation or Modification of Contract)

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

1. CONTRACT ID CODE | PAGE OF PAGES

2. AMENDMENT/MODIFICATION NO. | 3. EFFECTIVE DATE | 4. REQUISITION/PURCHASE REQ. NO. | 5. PROJECT NO. *(If applicable)*

6. ISSUED BY CODE | 7. ADMINISTERED BY *(If other than Item 6)* CODE

8. NAME AND ADDRESS OF CONTRACTOR *(No., street, county, State and ZIP Code)*

CODE | FACILITY CODE

(X) 9A. AMENDMENT OF SOLICITATION NO.

☐ 9B. DATED *(SEE ITEM 11)*

☐ 10A. MODIFICATION OF CONTRACT/ORDER NO.

10B. DATED *(SEE ITEM 13)*

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

☐ The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment your desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA *(If required)*

13. THIS ITEM ONLY APPLIES TO MODIFICATION OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

CHECK ONE	
☐	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: *(Specify authority)* THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
☐	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES *(such as changes in paying office, appropriation date, etc.)* SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
☐	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
☐	D. OTHER *(Specify type of modification and authority)*

E. IMPORTANT: Contractor ☐ is not, ☐ is required to sign this document and return _____ copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION *(Organized by UCF section headings, including solicitation/contract subject matter where feasible.)*

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER *(Type or print)* | 16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*

15B. CONTRACTOR/OFFEROR | 15C. DATE SIGNED | 16B. UNITED STATES OF AMERICA | 16C. DATE SIGNED

(Signature of person authorized to sign) | *(Signature of Contracting Officer)*

NSN 7540-01-152-8070
Previous edition unusable

STANDARD FORM 30 (REV. 10-83)
Prescribed by GSA FAR (48 CFR) 53.243

Standard From 30 Back

INSTRUCTIONS

Instructions for items other than those that are self-explanatory, are as follows:

(a) Item 1 (Contract ID Code). Insert the contract type identification code that appears in the title block of the contract being modified.

(b) Item 3 (Effective date).

(1) For a solicitation amendment, change order, or administrative change, the effective date shall be the issue date of the amendment, change order, or administrative change.

(2) For a supplemental agreement, the effective date shall be the date agreed to by the contracting parties.

(3) For a modification issued as an initial or confirming notice of termination for the convenience of the Government, the effective date and the modification number of the confirming notice shall be the same as the effective date and modification number of the initial notice.

(4) For a modification converting a termination for default to a termination for the convenience of the Government, the effective date shall be the same as the effective date of the termination for default.

(5) For a modification confirming the contacting officer's determination of the amount due in settlement of a contract termination, the effective date shall be the same as the effective date of the initial decision.

(c) Item 6 (Issued By). Insert the name and address of the issuing office. If applicable, insert the appropriate issuing office code in the code block.

(d) Item 8 (Name and Address of Contractor). For modifications to a contract or order, enter the contractor's name, address, and code as shown in the original contract or order, unless changed by this or a previous modification.

(e) Item 9, (Amendment of Solicitation No. - Dated), and 10, (Modification of Contract/Order No. - Dated). Check the appropriate box and in the corresponding blanks insert the number and date of the original solicitation, contract, or order.

(f) Item 12 (Accounting and Appropriation Data). When appropriate, indicate the impact of the modification on each affected accounting classification by inserting one of the following entries.

(1) Accounting classification .....
Net increase $ .....

(2) Accounting classification .....
Net decrease $ .....

NOTE: If there are changes to multiple accounting classifications that cannot be placed in block 12, insert an asterisk and the words "See continuation sheet".

(g) Item 13. Check the appropriate box to indicate the type of modification. Insert in the corresponding blank the authority under which the modification is issued. Check whether or not contractor must sign this document. (See FAR 43.103.)

(h) Item 14 (Description of Amendment/Modification).

(1) Organize amendments or modifications under the appropriate Uniform Contract Format (UCF) section headings from the applicable solicitation or contract. The UCF table of contents, however, shall not be set forth in this document

(2) Indicate the impact of the modification on the overall total contract price by inserting one of the following entries:

(i) Total contract price increased by $ .....

(ii) Total contract price decreased by $.....

(iii) Total contract price unchanged.

(3) State reason for modification.

(4) When removing, reinstating, or adding funds, identify the contract items and accounting classifications.

(5) When the SF 30 is used to reflect a determination by the contracting officer of the amount due in settlement of a contract terminated for the convenience of the Government, the entry in Item 14 of the modification may be limited to --

(i) A reference to the letter determination; and

(ii) A statement of the net amount determined to be due in settlement of the contract.

(6) Include subject matter or short title of solicitation/contract where feasible.

(i) Item 16B. The contracting officer's signature is not required on solicitation amendments. The contracting officer's signature is normally affixed last on supplemental agreements.

STANDARD FORM 30 (REV. 10-83) **BACK**

APPENDIX J: SF 44 (Purchase Order- Invoice Voucher)

U.S. GOVERNMENT
PURCHASE ORDER-INVOICE-VOUCHER

DATE OF ORDER
Write Date Goods or Services Purchased

ORDER NO.
CIDNE # / sequence nu

CIDNE number from the Afghan Development Report and the Sequence Number on Clearing Report (Start with 1)

PRINT NAME AND ADDRESS OF SELLER (Number, Street, and State)

Write Vendor Business Name and Address

P A Y E E

Furnish Supplies or Services to (Name and address)

Purchasing Officer's Full Name
Purchasing Officer's Unit's name and address
Afghanistan

Purchasing Officer's name and unit address

SUPPLIES OR SERVICES	QTY	UNIT PRICE AFGHANI	AMOUNT AFGHANI
Battle Damage:			
Broken door	1	1000 AFG	1000 AFG
Broken Window	2	20000 AFG	40000 AFG
(must be itemized)			
Exchange Rate 47.90 AFG = $1			

Reason for payment: List the Supplies or Services and Costs in detail

Write the Afghani (AFG) Exchange Rate from the 1081

AGENCY NAME AND BILLING ADDRESS*

P A Y O R

Disbursing Office, 1st MLG
Camp Leatherneck, Afghanistan

Write Exactly as It Appears Here

TOTAL Total Afghani
DISCOUNT TERMS
..... %
.....DAYS
DATE INVOICE RECEIVED
Write Date of Invoice

PO

ORDERED BY (Print Signature and title)
The Purchasing Officer (PO) must print and sign their Full Name and title

PURPOSE AND ACCOUNTING DATA

Example: 21 0 2020.0000 08A-2084 P135197.0000 2540 83GFVL CERPLNK0J00100 GFVL83 $09076

Write the Fund Cite Exactly As It Appears on DA 3953

USD $.....

Enter the USD amount from the Clearing Report

PURCHASER – To sign below for over-the-counter delivery of items

PO

RECEIVED BY
The Purchasing Officer (PO) must sign their Full Name here as well

TITLE
Print name of PO

DATE
Date Received

SELLER – Please read instructions on Copy 2

Check the Block and Write Total in AFG

☐ PAYMENT RECEIVED
$

☐ PAYMENT REQUESTED
$

NO FURTHER INVOICE NEED BE SUBMITTED

VENDOR

I certify that this account is correct and proper for payment in the amount of

$.....

Write Total in AFG

DIFFERENCES

ACCOUNT VERFIED CORRECT FOR

The Paying Agent Signs Here and Checks the Cash Block

The Pay Agent (PA) must sign their full Name
Authorized certifying officer

BY

PAID BY
☐ CASH
OR .....
(C... ...)

DATE PAID

VOUCHER NO.

Write Date Paid

*PLEASE INCLUDE ZIP CODE

PA

...K INVOICE
...tions on Copy 2)

STANDARD FORM 44A (Rev. 10-83)
PRESCRIBED BY GSA
FAR (48 CFR) 53.213(c)