Long-term Assistance and SErvices for Research (LASER) Partners for University-Led Solutions Engine (PULSE)

LASER PULSE Core Research Awards Manual

SUPPLEMENT TO AGREEMENT NO. AID-7200AA18CA00009

August 2021

LASER PULSE Delivering Practical, Research-Driven Solutions to Global Development Challenges

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Acronyms

CITI	Collaborative Institutional Training Initiative
CAFE	Consortium Alignment Framework for Excellence
EMMP	Environmental Management and Mitigation Plan
EMMR	Environmental Management and Mitigation Report
ERC	Ethical Review Committee
FWA	Federal Wide Assurance
FCPA	Foreign Corrupt Practices Act
HEI	Higher Education Institution
IEE	Initial Environmental Examination
IRB	Institutional Review Board
LASER	Long-Term Assistance and Services for Research
PULSE	Partners for University-Led Solutions Engine
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation, and Learning
PI	Principal Investigator
PMP	Performance Management Plans
RT	Research Translation
SAM	System Award Management
USAID	United States Agency for International Development
UIC	USAID Interest Countries

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Overview of LASER PULSE

LASER (Long-term Assistance and SErvices for Research) PULSE (Partners for University-Led Solutions Engine) is a five-year, $70M program funded through USAID's Bureau for Development, Democracy, Innovation/Innovation, Technology, and Research Hub, that delivers research-driven solutions to field-sourced development challenges in USAID interest countries.

A consortium led by Purdue University, with core partners Catholic Relief Services, Indiana University, Makerere University, and the University of Notre Dame, implements the LASER PULSE program through a growing network of 2,500+ researchers and development practitioners in 61 countries.

LASER PULSE collaborates with USAID missions, bureaus, and independent offices and other local stakeholders to identify research needs for critical development challenges, and funds and strengthens capacity of researcher-practitioner teams to co-design solutions that translate into policy and practice. For more information, please visit laserpulse.org.

The role of the Awards in LASER PULSE:

1) Provide research-driven solutions for the field-sourced development challenges.
2) Provide examples of Embedded Research Translation (ERT) to promote and to build upon in advocacy for LASER PULSE's ERT approach - see Section A.2.1 (Research translation) for details.
3) To showcase emerging partnerships among researchers and practitioners and potential for sustainability of the partnerships
4) Contribute to the research life cycle by providing evidence-based for the specified development challenges and generating new questions arising from the research and dissemination of solutions.

A. Overview of the Award

A.1 Award type and conditions - Cooperative Agreement
The award is subject to all terms and conditions of USAID Cooperative Agreement #7200AA18CA00009 and each institution's sub-agreement with the PRIME institution (Purdue University). *(See Appendix 1 for details.)*

A.2 Key LASER PULSE Requirements

A.2.1 Embedded Research Translation
Research translation is a core component of the LASER PULSE project and central to ensuring that research ultimately results in on-the-ground solutions to development challenges, LASER PULSE has developed a research translation model known as Embedded Research Translation and a series of requirements for subawardees' ERT strategies (further described below). The overall goal of these requirements is to guide sub-awardees through collaboratively designing, producing and disseminating research translation products and to help LASER PULSE

understand how best to support the subawardees throughout this complex process. In order to support subawardee teams in meeting these requirements and building their capacity around translation, the LASER PULSE's Embedded Research Translation Team is available for consultation throughout the life cycle of the project and has developed a range of tools, templates, examples and additional resources that are available on the LASER PULSE website to facilitate research translation learning and implementation.

LASER PULSE's requirements around Embedded Research Translation include the following:

1. **Attend the LASER PULSE Research Translation Workshop -** During the LASER PULSE Project Inaugural Meeting (see description in B.1 below), Project PIs will have the opportunity to refine their Research Translation strategy at an Embedded Research Translation Workshop led by the LASER PULSE Embedded Research Translation Team. At that time, PIs will receive information and support on developing a more refined research translation strategy for implementation based on their original submitted proposal, including aligning their research translation strategy to their annual work plan and identifying any proposed translated research products and their associated timelines.

2. **Complete a biannual Embedded Research Translation Needs Assessment Survey-** Following the Inaugural Meeting, LASER PULSE will administer an Embedded Research Translation Needs Assessment Survey for all PIs and co-PIs to take within two weeks of the end of the meeting. After the initial survey, sub-awardee teams will receive the survey at six-month intervals until the conclusion of the project. This survey serves both as a mechanism for teams to communicate their learning needs around Embedded Research Translation and as an assessment tool for teams to reflect on their progress in relation to the four pillars of the Embedded Research Translation model.

3. **Participate in one-on-one meetings with the Embedded Research Translation Team-** Project PIs are required to participate in a virtual one-on-one meeting within two months after project Inaugural Meeting to review the project's research translation strategy with the LASER PULSE Embedded Research Translation Team. Projects will receive tailored support based on responses to the initial Embedded Research Translation Needs Assessment Survey at this time. After the initial one-on-one meeting, sub-awardees are encouraged but not required to engage in one-on-one support meetings as needed throughout the course of the award and suggested by either the LASER Embedded Research Translation Team or the sub-awardee. A one-on-one exit interview upon completion of the project is required to learn more about project challenges and successes.

4. **Monitor Embedded Research Translation progress-** LASER PULSE has developed a monitoring tool for subawardees to track the progress of implementing their research translation strategy. During the initial virtual one-on-one meeting, the LASER PULSE Embedded Research Translation Team and Project PIs will fill out the Embedded Research Translation Progress Tracker (template and instructions) to summarize all activities, timelines, and deliverables identified in the annual work plan associated with

research translation into a consolidated document. This monitoring tool will be reviewed annually and updated as necessary by the project PIs and will serve as a communication tool between the subawardees and the LASER PULSE Embedded Research Translation Team during one-on-one meetings throughout the life of the project.

5. **Develop communications products to facilitate sharing of successes**. In addition to creation of a translation product, by project's end, awards are required to produce a (1) 1-2 page project summary or success story for LASER PULSE to publish and (2) a short, three-minute video to tell the project's story. LASER PULSE will provide templates and will review the project summary and video to aid in the development process. Additional funds may be added to subawards to facilitate professional video production.

While refining their research translation strategy, subawardees are encouraged but not required to complete a Research Translation Implementation Planning template, which provides detailed guidance on planning for Embedded Research Translation, including determining partner roles and developing work plans. In addition, subawardees should consider carrying out a detailed Stakeholder Analysis to ensure that stakeholders are consulted throughout all phases of the research project and develop a Communications Strategy to plan for their project's communications strategy and associated deliverables. LASER PULSE's guidelines around the four pillars of subawardees' Embedded Research Translation strategy are as follows:

1. **Partnership** - To ensure a strong and collaborative partnership throughout the research translation process, sub-awardees are encouraged to reference the LASER PULSE Researcher Practitioner Partnership Tool Kit (coming soon) to visit the LASER PULSE website for additional partnership materials.

2. **Process** - To reinforce an effective collaboration process between the team's researchers and translation partners, sub-awardees are encouraged to reference partnership resources including the Collaboration Team Science Field Guide, and the Consortium Alignment Framework for Excellence (CAFE) Manual.

3. **Product -** Subawardees should work with their translation partner(s) at the beginning of the project to identify the translation product(s) that will be created as a result of the collaboration. The product(s) should be applicable to policy and/or practice. It is recommended that the translation product(s) is/are tested and piloted in partnership with the translation partner(s) and refined throughout the award period of performance. At the conclusion of the project, sub-awardee teams are expected to have at least one translation product ready for use by the translation partner(s) with detailed guidance on its application.

4. **Dissemination** - Subawardees should begin planning for dissemination at the beginning of the project and take into account that executing the plan can and should begin to take place before the end of the project. At the conclusion of the project, sub-awardees should plan to disseminate beyond their initial partnerships and for broader uptake of relevant

findings. For possibilities to disseminate through LASER PULSE channels, please see Section D.6.

A.2.2 Gender mainstreaming

As another core component of LASER PULSE awards, gender considerations should be built into the project design, in order for the project team to have identified, and therefore planned to address, the gender issues for the sector and the target population. Teams that consider how men and boys, and women and girls are differentially impacted by the project's focus and the team's proposed work are more likely to identify opportunities for impact with their work.

This case study from an Ethiopian communal pasturelands' management project provides a good example of this. Using this example, project designers might have asked: Who is managing these pasturelands - men and/or boys or women and/or girls? Who does what, when? And who stands to benefit from better management? What does 'better' mean for men and/or boys? For women and/or girls? Define 'benefit' differentially for these groups as well: benefit how? To what extent?

In many countries where traditional practices (such as child marriage) have heavy impacts on development, it is also useful to note the age of target group members to address gendered development issues strategically, and at the very least note, consider, and report, findings based on age and sex of the target group.

It is useful to unpack nouns such as 'farmers,' 'youth,' 'head of household,' 'community leaders,' 'entrepreneurs,' etc., to ask who these people are. It is easy to use a vague term that defaults to men only. Or, in cases where the focus is the traditional domain of women (nutrition, childcare), to exclude men. Such terms mask who we are targeting and miss questioning assumptions about that targeting. sub-awardees should check reports prior to submission to ensure those kinds of terms are explained along these lines: Who is it? What do they do? Why are you working only with them and not …? Who stands to benefit from this work, and in which ways?
Subawardees should lookout for opportunities to increase the likelihood of impact by noticing unchallenged gender assumptions about the target group.

A.3 Branding, Marking, and Acknowledgements

Communications (Online and Print) follow LASER Branding and Marking Plan. LASER PULSE and USAID will provide assistance in implementing these guidelines.

A.3.1 Logos

For your reference, general Microsoft PowerPoint and Microsoft Word templates will be provided to each research team with the appropriate logos by Jeff Goecker, the LASER PULSE Communications Specialist. For future questions, contact Jeff at jgoecker@purdue.edu

- Projects funded by LASER PULSE and/or USAID are prohibited from the development and/or display of their own logos, or any mark of identity using the LASER PULSE or USAID brand.

A.3.2 Acknowledgement Statements

Once finalized, all research deliverables should acknowledge that the work was supported by USAID.

For research publications (e.g. journal articles, project reports)
- A statement of USAID support in the acknowledgment section, typically on the first page under the title. It should read:

"This publication was made possible through support provided by the Innovation, Technology and Research Hub of the U.S. Agency for International Development, through the LASER PULSE Program led by Purdue Univesity under the terms of Cooperative Agreement No. 7200AA18CA00009. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development."

For public communications (e.g. press releases, success stories, videos, program events)
- Written communications: bottom of first-page
- Audio/visual: USAID logo placed where possible, and/or a statement clearly indicating USAID as the source of funding "from the American people".
- Further, please insert the following at the end of the presentation:

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

A.4 Primary Liaison to Subawardees

The Research Project Manager, Pamela McClure, (awardsmanager@laserpulse.org) will be the primary liaison for sub-awardees. Communication involving information regarding timelines, reporting, deliverables will be conveyed to each sub-awardee.

B. LASER PULSE Project Management and Support Role

B.1 Research Management

The LASER PULSE Research Management Team (Technical Director and Research Project Managers) will work with awardees to ensure their success in all aspects of their projects, including

1. The PI is also required to organize regularly scheduled team meetings to discuss research progress and to ensure the project remains on track. The PIs should share the calling information with the LASER PULSE Research Program Manager (Pamela McClure, awardsmanager@laserpulse.org) to facilitate participation in the calls.

2. In regularly scheduled meetings, review progress and provide feedback with respect to original application goals and workplan by participating in some of the regularly scheduled project meetings, by reviewing semi-annual reports.

3. Provide support as needed and appropriate to help the team accomplish its goals on time and deliver high-quality deliverables. Such support can include providing constructive feedback to PI's on research progress reports with respect to USAID requirements, technical editing, etc.

B.2 Research Translation Support

LASER PULSE will administer a biannual Embedded Research Translation Needs Assessment Survey (see A.2.1 Embedded Research Translation) for project personnel to help PIs and their teams reflect on their learning needs and identify where support from LASER PULSE would be most helpful. In addition, PIs will monitor their research translation Workplan activities and associated deliverables in an Embedded Research Translation Progress Tracker (see A.2.1 Embedded Research Translation). Both of these monitoring and assessment tools will serve as communication tools with the LASER PULSE Embedded Research Translation Team to ensure that sub-awardees are successful in the implementation of their research translation strategies and that LASER PULSE can provide timely and customized support to projects teams.

Based on the responses to the Embedded Research Translation Needs Assessment Survey, the LASER PULSE Research Translation Team will schedule research translation learning and discussion opportunities to ensure that sub-awardees have the support they need and that their progress matches their project's research translation strategy activities identified in the Embedded Research Translation Progress Tracker. Monitoring check-ins will enable LASER PULSE to provide timely assistance in terms of training, audience ideation (connections and networking assistance if possible), support materials or templates, or advising time that would advance research translation efforts.

The Research Translation Communication Lead (RTCL), the Research Translation Strategy Lead (RTSL), and/or Research Translation Advisor (RTA) will hold a one-on-one virtual Project Close Out Meeting with the researchers and practitioners on the Research Award Team within one month of the end of the funding to capture lessons learned.

B.3 Gender support

At this stage the team(s), especially the Principal Investigator (PI) and the co-PI, have already taken the LASER PULSE online gender training, incorporated feedback from the LASER PULSE Gender Expert into the application during co-creation, and have a plan to address gender issues for the sector and the target population for the project (see A.2.2 Gender mainstreaming).

LASER PULSE will continue to support the research teams to mainstream gender in all project activities and practices through the following activities:

1. Following the Inaugural Meeting, LASER PULSE will administer an Embedded Research Translation Needs Assessment Survey for all PIs and co-PIs to take within two

weeks of the end of the meeting. This survey will incorporate questions specifically around gender mainstreaming. After the initial survey, sub-awardee teams will receive the survey at six-month intervals until the conclusion of the project. This survey serves both as a mechanism for teams to communicate their learning needs around gender and as an assessment tool for teams to reflect on their progress in relation to gender mainstreaming.

2. Based on the needs identified in the survey, future gender-related support tools will be created on topics such as 1) how to implement the project while addressing gender issues, 2) selection of project participants, 3) use of gender-sensitive research methods, gender-responsive reporting that allows for data to be disaggregated and in ways that will promote gender transformation and gender inclusivity in research translation.

C. LASER PULSE Project Start-up

C.1 Project Inaugural Meeting

LASER PULSE will conduct an inaugural meeting for all sub-awardees in each cohort, as practical, that will cover several topics including, LASER PULSE's goals and objectives, expectations for the research sub-awardees (technical and financial), and presentations on working as a team. Additionally, during this meeting, LASER PULSE will organize an Embedded Research Translation Workshop. The project's Principal Investigators (PIs) and any other relevant staff will be encouraged to attend. Other research team members may attend, if available.

Topics of discussion include
1. Project management and reporting, including technical, monitoring and evaluation, and financial.

2. Gender training to ensure gender mainstreaming in aspects of the project, including activities and reporting.

3. Embedded Research Translation Workshop: The LASER PULSE Research Translation Team will engage with sub-awardees in a workshop to aid in refining the projects' research translation strategy. The main objectives of the workshop include the following:
   a. To reinforce LASER PULSE's Embedded Research Translation model through examples of research translation and a deep dive into the four pillars of the model- partnership, process, product, and dissemination
   b. To provide an opportunity to further integrate research translation into the work plan
   c. To familiarize awardees with resources and available support
   d. To introduce the Embedded Research Translation Needs Assessment Survey and Embedded Research Translation Progress Tracker
   e. To provide an opportunity for direct questions and answers with the Embedded Research Translation Team

C.2 Research Team Project Inaugural Meeting

Each Principal Investigator (PI) will be required to conduct a project kickoff meeting for their respective research teams, including their translation partners. The goals of the meeting will be to get to know each other, familiarize team members with awards management guidelines, protocols, and fiscal management guidelines. *(see Appendix 2: Templates and links to award resources)* The PI will share all the documents provided at the LASER PULSE Inaugural Meeting with their respective research teams.

C.3 Required documents from sub-awardees after Inaugural Meeting

The PI is required to be aware of all reporting requirements over the course of the research project. This timeline summarizes all requirements. After the Inaugural Meeting, please submit the following documents to the LASER PULSE Research Program Manager (Pamela McClure, awardsmanager@laserpulse.org).

C.3.1 Project tracker

Each sub-awardee will be sent a google sheet link to a project tracker after the inaugural meeting. These spreadsheets are a communication tool between LASER PULSE and the sub-awardees. There are 5 spreadsheets: team roster, deliverable tracker, ERT progress tracker, reporting tracker, and milestones/achievements. The deliverable tracker will be initially completed by LASER PULSE using the specific deliverables that are in the awarded application. The PI is required to keep all information up to date including, but not limited to; submission dates of deliverables, changes in roster information, and adding milestones/achievements. More information will be provided at the inaugural meeting and there are instructions here for future reference.

C.3.2 Annual work plan (October 1- September 30)

Each sub-awardee will be required to submit their revised annual work plan using the USAID fiscal year (depending on actual award date, adjustments, and length of the performance year may be made). A template is available in Appendix 2. The Work Plan is due by August 30 for the following fiscal year. In particular, emphasis will be placed upon the development of a research translation plan that is tied to the expected outputs/deliverables of the research project. For example, the research team must list all planned/expected outputs, including translated research products and dissemination workshops, and provide an associated timeline for the delivery of each deliverable. These items can be listed as bullet points within the text, with an estimated delivery date placed in parentheses after a given item's description. Modifications to the delivery schedule of outputs can be allowed after discussion and agreement by all parties.

C.3.3 Human Subject Review Process (as applicable)

An Institutional Review Board (IRB) is responsible for reviewing the scientific, legal, and ethical merits of a human subjects research protocol before the research starts and while the research is ongoing. All proposed research will go through a preliminary review to determine if human subjects research is needed as part of the award.

The PI must ensure that proposed activities comply with respective stipulated Institutional Review Boards (IRB) standards. All LASER-funded research involving human subjects must be reviewed and approved by a reputable IRB institution: which could be either an ethical review committee (ERC) or institutional review board (IRB). If any HEI does not have an established IRB process, and the research team includes researchers from additional HEIs, then the research team can choose to utilize a partner organization's IRB process. If there is no available IRB board for a project, please notify LASER PULSE immediately.

Enlisting and recruiting of research subject participants cannot begin prior to the receipt of proper documentation and certification. The specific IRB notices that may apply (as appropriate) include: 1) an approval notice, 2) an exemption notice, 3) or a non-human subjects determination notice. The PI must furnish a notice showing evidence of review decision and certification. If exempt, they should furnish evidence of the requisite exemption notice to LASER's Business Manager International Sponsored Programs Manager prior to undertaking any research activity. When a research team is engaged in exempted research, they will be exempt from provisions and requirements governing the conduct of non-exempt human subjects' research.

- If the PI is working at a non-US institution, that institution will be required to have [Federal Wide Assurance (FWA)](#) [active status](#) (institutions can search for their status) prior to receiving sub-awards involving human subjects activities from Purdue University under the LASER PULSE award.
- US researchers who do not have human subjects ethics and protocols training certification from a certifying organization such as [CITI](#) will need to undertake this training prior to applying for exemption from their IRB. Non-US researchers will follow the guidelines of their institution regarding requirements for human subjects research when that institution has an FWA active status.
- PIs must submit an application for exemption with an IRB **before proceeding** with a protocol involving human participants, in order to ensure that those participants are adequately protected.
- In some cases, human subjects research will be deemed non-exempt, and this kind of research requires particularly stringent protocols and approvals. Here is some guidance to help determine whether your research might be non-exempt:

  *Institutions whose employees or agents **obtain** for research purposes identifiable private information or identifiable biological specimens **from any source** for the research.*

  It is important to note that, in general, institutions whose employees or agents obtain identifiable private information or identifiable specimens for non-exempt human subjects research are considered engaged in the research, even if the institution's employees or agents do not directly interact or intervene with human subjects. In general, obtaining identifiable private information or identifiable specimens includes, but is not limited to:

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- *observing or recording private behavior;*
- *using, studying, or analyzing for research purposes identifiable private information or identifiable specimens provided by another institution; and*
- *using, studying, or analyzing for research purposes identifiable private information or identifiable specimens already in the possession of the investigators.*

In general, it is considered that private information or specimens are individually identifiable as defined by the US Department of Health and Human Services [45 CFR 46.102(f)] when they can be linked to specific individuals by the investigator(s) either directly or indirectly through coding systems (Link)

C.3.4 Data Management and Sharing Plan
Data must be used responsibly and should follow the principles set forth by USAID (access link here), namely Data Use, Privacy & Security and Transparency & Accountability. A template for tracking your program's data is available in the appendix. Research awardees are required to submit all data sets generated from their research to LASER PULSE. The data sets will be uploaded to the USAID Development Data Library (DDL)

C.3.5 Environmental management (as applicable)
Environmental Management and Mitigation Plan (EMMP) and the subsequent Environmental Management and Mitigation Report (EMMR) are required for awards that did not receive categorical exclusion for potential environmental impacts from the USAID's Bureau Environmental Officer. The EMMP must be submitted to the Research Project Manager 15 days following the Initial Environmental Examination (IEE) approval and the EMMR must be submitted together with periodic reports (semi-annual and annual). See Appendix 2 for templates for these plans and reports.

C.3.6 Website description
Each research team will be required to submit project details and photos for the LASER PULSE website.

D. Project Implementation
D.1 Research team meetings
D.2. Meetings with Missions
D.3. Changes in project design and project deliverables
Any changes in the project design e.g change in sample size, experimental design, etc. must be discussed with the Research Project Manager who will bring to the attention of LASER PULSE management. LASER will require some time to consult with the subject matter experts in the research to ensure the changes are scientifically sound.

E. Reporting Requirements and Guidelines
The PI is required to be aware of all reporting requirements over the course of the research project. This timeline summarizes all reporting requirements during the research project, and this

checklist summarizes the requirements during semi-annual and annual reporting.

E.1 Bi-annual and annual reporting

The agreement between LASER PULSE and the research sub-awardee mandates that the latter must submit summary progress reports on a bi-annual basis, following USAID's fiscal year (October 1 to September 30). This is the Research Awards Data Reporting that the PI will receive via Qualtrics. As such, the deadlines for the reports will be April 5 and October 5. LASER PULSE upholds the principle of transparency and therefore requires that reporting and documentation be provided to inform progress on project activities; timely reporting helps to enhance efficiency in monitoring while enabling access to pertinent information for both LASER and USAID.

- MEL Semi-annual report will be due by April 5 (reporting period: Oct. 1 - March 30)
- MEL Annual report will be due by October 5 (reporting period: April 1-Sept. 30)

It is incumbent upon the research PI to be knowledgeable about all due dates, expected documentation, and submission procedures. PIs should note that submittal dates are standard, and therefore are not conditional upon the project start date. As such, each PI will receive an M&E Reporting Instructions/Guidelines document describing information and curation procedures pertaining to reporting on project progress; specifically, it describes procedures for and submission of award monitoring, evaluation, and learning (MEL) information, budget issues, and information on research products and research datasets. Additionally, in advance of each bi-annual reporting period, LASER's M&E Specialist will send an email that: officially requests the required information and data, reminds the PI of the reporting deadline, and provides links to both the aforementioned guidelines and the actual reporting form.

E.2 Reporting on research outputs and dissemination activities

Overall, to better understand the impact your research is having on the lives of real people, it is important to provide detail on how and to what extent the project objectives were achieved, and to also note any other activities or products achieved that were not formal deliverables or anticipated/planned at earlier stages.

E.2.1 Project Tracker

Once research efforts have commenced, output data compiled and reported by the PI includes, but is not limited to: (1) the names and selected information of the PI and Co-PIs; (2) research products such as technical manuals, policy briefs, guidebooks, peer-reviewed publications, technical reports, and relevant datasets; and (3) presentations at convenings where translated research is disseminated to various practitioners, (4) success stories and lessons learned during project implementation, and (5) achievements and milestones occurring during the project.

The PI and research team should be aware to report on whether translation and/or dissemination products or policy were shared/used/adapted at policy arenas in the local, national, and/or global levels, and how gender mainstreaming was enhanced to ensure initial and continued impact on target audiences and populations in the course of the

project. Of note, it is important to continue to provide updates on deliverables that were produced and reported in earlier time periods as dissemination and policy-based work may take an extended time period to fully achieve. This information needs to be regularly updated in the team's project tracker.

E.2.2 Deliverables and dissemination reporting

Each recipient should submit deliverables and documentation describing what products, policies, and processes have resulted from project activities during the reporting period. Documentation of the quantitative indicators is required (e.g. # of publications targeting a given # of stakeholder categories). Additionally, specific product dissemination avenues (expert meetings, proceedings at the community of practice sessions, policy discussions, conference presentations) and print products (publishable peer-reviewed and non-peer-reviewed products and other publications, such as traditional academic outputs such as journal articles, technical reports, posters, etc.) should be listed. An outline of how the deliverables were disseminated, who shared these, to whom the products were directed, and when this was done should be documented in the project's deliverables tracker provided at the Inaugural Meeting. All deliverables should be sent to awardsmanager@laserpulse.org.

The PI will ensure that acceptable, professional-level deliverables are sent to the LASER PULSE Awards Manager, copying the M&E Specialist (frossi2@nd.edu), on time and on track according to the work plan. LASER PULSE, upon receipt of a report, will send a confirmation email to each submitter. Both the Awards Manager and the M&E Specialist will review the report and provide feedback on the status of the report in terms of completion, adherence to reporting rules, and other gaps. If revisions are deemed necessary, written notice will be provided to the PI that specifies the appropriate corrective action and applicable recommendations to be addressed with a stated specified timeline. PIs must address these recommendations and submit documentary evidence that appropriate corrective actions were taken and/or suggested recommendations were addressed within the specified timeline.

E.2.3 Success stories

LASER PULSE would like to recognize the success and impacts of each award. PIs are required to write an end-of-project story. This report should note any stories of success in project implementation, research translation, or lessons learned related to research impact. Story submission is available to facilitate sharing of achievements, milestones, and lessons learned with the LASER PULSE team for more streamlined communication about the project. LASER PULSE will provide guidelines. All stories should be sent to awardsmanager@laserpulse.org.

E.2.4 End of Project Video

LASER PULSE would like to recognize the impact of each award. As such, an end-of-project video will be created by each awarded team. LASER PULSE will provide

guidelines and funds for the video. All videos should be sent to
awardsmanager@laserpulse.org.
NOTE:

E.3 Publications guidelines

LASER PULSE recognizes the importance of research and scholarship not only to the general advancement of its mission, but also to the researchers and practitioners performing such activities. Publications and other forms of scholarship are a key product of the LASER PULSE Program and authorship is an important metric. Authorship on publications should reflect intellectual contribution. In this context, "publications" include any form of a written document or slide-based presentation including journal articles, conference papers, extension bulletins, presentations at professional meetings, participation in professional and academic conferences, preparation of seminars and workshops, and other forms of intellectual contribution. Those developing a publication should draft it with the authorship that they think most appropriate and share the draft with team members before submission to a journal or other publication outlet.

E.4 Environmental Compliance and Management

All Applications submitted to LASER PULSE are reviewed by the USAID's Bureau Environmental Officer (BEO) for potential environmental impacts. The PIs for sub-awards that did not receive a categorical exclusion for potential environmental impacts are required to prepare and submit an IEE form to LASER's Research Project Manager 15 days after USAID BEO's environmental impact determination. LASER PULSE will ensure that the form is reviewed and approved by the BEO prior to the commencement of the project. LASER PULSE monitors sub-awardees that have IEEs to ensure EMMPs are being followed, and to address additional potential environmental impacts that may arise during the project implementation.

E.5 Financial Reports

Financial Reports will follow the schedule identified in each sub-recipient's agreement(s) based on the needs of the specific terms of that agreement.

Delay, default, and/or non-compliance:

In case of delays, PIs should inform the Awards Manager and the M&E Specialist if extenuating circumstances limit their ability to submit a timely report. LASER PULSE is cognizant of the adverse effects posed by both natural (such as climate-related disasters and global pandemics) and other extreme disasters (such as violence) on report preparation and submission. As such, following a comprehensive evaluation of a specific event and under USAID guidance, LASER PULSE will provide formal guidelines for revised schedules, as appropriate. This may include the specific flexibilities which describe and specify: the revised submission schedule, allowable structure of report content; and/or to whom the changes apply (vis a vis the project target area, target population/s, as well as research clusters). Appropriate contacts assigned to coordinate this process with affected subawardees and research activities will also be specified.

In case of defaults or non-compliance, LASER PULSE will consult with USAID and Purdue University Office of Sponsored Program Services to determine the appropriate remedial action

to be taken in the event of noncompliance or any failure to meet the terms and conditions of LASER reporting provisions.

E.6 Dissemination of project outputs through LASER PULSE channels

Project deliverables should be submitted to LASER PULSE as specified in Section D.2.2 above. LASER will assist with disseminating your final deliverables, research translation products, videos, and success stories through the LASER PULSE website and LASER PULSE Network.. Other opportunities will also be available to disseminate project outcomes through LASER and USAID in addition to those identified as part of subawardee's dissemination strategy. For example, future LASER events could feature project examples and key contributors as part of presentations or panel discussions. LASER PULSE also plans to identify external events for dissemination to feature its model for research translation and affiliated projects. Opportunities to feature project PIs and key contributors through webinars, short video interviews, social media, or guest newsletter entries, as well as on the LASER PULSE website may be found. Projects may be packaged as cases or examples of best practices in research translation, with consideration for the sensitivities surrounding unpublished data and with permission from the research team.

E. Financial

F.1 Financial Reporting
Subawardees must adhere to each subagreement and/or terms of the USAID Cooperative Agreement #7200AA18CA00009. Financial reports must be submitted in accordance with each institution's subagreement based on award type and payment terms.

F.2 Performance
In cases where a sub-awardee is underperforming by failing to comply with the terms of the award or meet sub-award deliverables in terms of timeliness, quality, or other agreement requirements, Purdue (with USAID approval) will implement a step by step process for dealing with underperforming as described below to ensure timely and quality deliverables to USAID.
1. Informal conversations with the recipient with specifics reasons/examples of underperformance;
2. Discussion of issues with USAID;
3. Formal letters outlining changes to be made by the recipient to keep the project on track;
4. Withholding payment for recipients who fail to meet stated deliverable requirements following a formal letter;
5. Termination of sub-award based on the agreement terms.

G. Appendices

Appendix 1: Terms of reference for Award - Conditions and Compliance:
1. Sam.gov
   a. Requirement for System of Award Management (SAM). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must ensure your information is updated as needed to remain accurate in SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration and more frequently, if required by changes in your information or another award term.

2. Prior approval from the LASER PULSE is required prior to the execution of specific changes to the original agreement. Examples include:
   a. Change in scope or the objective of the program
   b. Budget revisions
      i. Greater than +/- 10% variance of the award
      ii. Transfer of funds to/from participant support cost categories (such as Labor, Travel, etc.) as defined in 2 CFR 200.75
   c. Subawards, transfers or contracting out of any work (other than purchase of supplies, material, equipment or general support services), unless identified in the application and funded in the approved budget of the award.

    d. Restricted commodities
- i. Equipment
- ii. Real property
- iii. Construction
- iv. Agricultural commodities
- v. Motor vehicles
- vi. Pharmaceuticals
- vii. Pesticides
- viii. Used equipment
- ix. US Government-owned excess property
- x. Fertilizer

3. Host Government Tax
   a. Early April of each year, the recipient must submit a report containing:
   - i. Recipient name.
   - ii. Contact name with phone, fax and email.
   - iii. Agreement number(s).
   - iv. The total amount of value-added taxes and customs duties (but not sales taxes) assessed by the host government (or any entity thereof) on purchases in excess of $500 per transaction of supplies, materials, goods or equipment, during the 12 months ending on the preceding September 30, using funds provided under this contract/agreement.
   - v. Any reimbursements received by April 1 of the current year on value-added taxes and customs duties reported in (iv).
   - vi. Reports are required even if the recipient did not pay any taxes or receive any reimbursements during the reporting period.

   b. Submit the reports to: spaidfor@purdue.edu with a copy to skinman@purdue.edu

4. Fly America
   a. FLY AMERICA ACT RESTRICTIONS: The recipient must use U.S. Flag Air Carriers for all international air transportation to the extent service by such carriers is available.
   b. In the event that the recipient selects a carrier other than a U.S. Flag Air Carrier for international air transportation, in order for the costs of such international air transportation to be allowable, the recipient must document such transportation in accordance with this provision and maintain such documentation pursuant to the Standard Provision, "Accounting, Audit and Records." The documentation must use one of the following reasons or other exception under the Fly America Act:
   - i. The recipient uses a European Union (EU) flag air carrier, which is an airline operating from an EU country that has signed the US-EU "Open Skies" agreement (http://www.state.gov/e/eb/rls/othr/ata/i/ic/170684.htm).
   - ii. Travel to or from one of the following countries on an airline of that country when no city pair fare is in effect for that leg :
     - a. Australia on an Australian airline,

        b.   Switzerland on a Swiss airline, or

        c.   Japan on a Japanese airline;

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

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

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

   vi.   If the US Flag Air Carrier does not offer direct service, Use of the US Flag Air Carrier increases the number of aircraft changes by 2 or more,

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

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

  c.   If a traveler qualifies for an exception, this must be documented and maintained by your institution to be requested (by LASER) on an as-needed basis.

5. Ineligible commodities
    a. Military equipment
    b. Surveillance equipment
    c. Commodities and services for support of police or other law enforcement activities
    d. Abortion equipment and services
    e. Luxury goods and gambling equipment
    f. Weather modification equipment

6. Trafficking In Persons
    a. Purdue University is prohibited and prohibits its employees, sub-awardees, consultants, vendors, contractors, and subcontractors from engaging in any form of trafficking in persons, the procurement of a commercial sex act during the period of time that the USAID Cooperative Agreement #7200AA18CA00009 LASER cooperative agreement is in effect, the use of forced labor in the performance of the grant, contract, or cooperative agreement, or any other acts that directly support or advance trafficking in persons, including the following:
        i. Destroying, concealing, removing, confiscating, or otherwise denying an employee access to that employee's identity or immigration documents;
        ii. Failing to provide return transportation or pay for return transportation costs to an employee from a country outside the United States to the country from which the employee was recruited upon the end of employment if requested by the employee;
        iii. Soliciting a person for the purpose of employment, or offering employment, by means of materially false or fraudulent pretenses, representations, or promises regarding that employment;

      iv.   Charging recruited employees placement or recruitment fees, or other fees that violate the laws of the country from which an employee is recruited; or

      v.   Providing or arranging housing that fails to meet the host country housing and safety standards.

b.   Annual Certification

      i.   Submit the certification (provided annually via email) to: spaidfor@purdue.edu with copy to skinman@purdue.edu

c.   Training

      i.   Blue Campaign: Human Trafficking 101 for School Administrators and Staff

      ii.   National Human Trafficking Hotline: Human Trafficking 101 training video

      iii.   U.S. Department of Homeland Security: Blue Campaign (One Voice. One Mission. End Human Trafficking) Awareness Videos

d.   Reporting Hotline

      i.   Violations of this policy should be reported immediately to the Purdue University anonymous enterprise-wide hotline in the following manner:

      ii.   Website for online reporting: http://www.purdue.edu/hotline/

      iii.   Telephone: 1-866-818-2620

      iv.   Email (Only if online reporting and/or telephone reporting are not available or free of charge from the country in which you are located): iadirector@purdue.edu

7.   Foreign Corrupt Practices Act

a.   The United States Foreign Corrupt Practices Act is federal law in the United States that generally prohibits United States companies from making or offering bribes to government officials of foreign countries. This prohibition applies to interactions and transactions within the foreign country as well as to interactions and transactions with foreign government officials within the United States. Subrecipient represents and warrants to Purdue University that it is aware of the requirements of the United States Foreign Corrupt Practices Act (the "FCPA") and will not take any action that could violate the FCPA or expose Purdue University to liability under the FCPA.

b.   LASER PULSE will send annual reminders to each subawardee for disbursement to the remainder of the project team for those involved, but not originally included.

c.   Reporting Hotline

      i.   Violations of this policy should be reported immediately to the Purdue University anonymous enterprise-wide hotline in the following manner:

      ii.   Website for online reporting: http://www.purdue.edu/hotline/

iii. Telephone: 1-866-818-2620
iv. Email (Only if online reporting and/or telephone reporting are not available or free of charge from the country in which you are located): iadirector@purdue.edu
v. Purdue University has ZERO tolerance with respect to violations of this anti-bribery and anti corruption agreement. Any violation of this anti-bribery and anti-corruption agreement shall entitle Purdue University to terminate your subaward or contract immediately and without prior notice.

8. Additional requirements
   a. Additional reports may be requested on an as-needed basis.
   b. All applications are subject to all terms and conditions of USAID Cooperative Agreement #7200AA18CA00009, can be found within each subagreement
   c. In addition, all subrecipients are subject to all terms and conditions of each sub agreement between a subawardee and the Prime (Purdue University)
   d. Please note: all subrecipients are required to monitor, report and comply with the requirements of ADS Chapter 591- Financial Audits of USAID Contractors, Recipients and Host Government Entities.

Appendix 2: Templates and links to award resources and trainings

<u>**Required Resources**</u>
- [Timeline](#) of reporting requirements
- [Work plan](#) template
- Environment management forms:
  - [Request for Categorical Exclusion (RCE)](#) form,
  - [Initial Environmental Examination](#) form
  - [Environmental Mitigation and MonitoringPlan (EMMP)](#),
  - [Environmental Mitigation and Monitoring Report (EMMR)](#).
- [Data Management Plan](#)

<u>**Gender Resources**</u>
- [Gender Analysis in Research and Application](#)

<u>**Embedded Research Translation Resources**</u>
- [Community Engagement Toward Impact in Research Translation](#)
- [Communications Strategy Template](#)
- [Embedded Research Translation Stakeholder Analysis](#)
- [How to Plan For and Utilize a Brief](#)
- [Policy Brief Template](#)
- [Project Summary Template](#)
- [Research Translation Implementation Planning Template](#)
- [Utilizing Accessible Language in Research Translation](#)

<u>**Other Resource**</u>s
- [Teaming science](#): working as a team
- Principles of Design Thinking/Human Centered Design [Course](#) for innovation management

<u>**Additional Online Training**</u>
- [An Introduction to Using Applied Improvisation Techniques to Enhance Research Translation](#)
- [Designing a Training Toward Research Translation](#)
- [Effective Planning for Your Project's Communication Strategy](#)
- [Engaging Communities to Enhance Impact and Sustainability of International Partnerships](#)
- [Introduction to Embedded Research Translation](#)
- [Utilizing Accessible Language in Research Project Communication](#)