



Issuance Date: December 30, 2011  
**Closing Date: January 30, 2012**  
Closing Time: 11:00 (Asuncion time)

**Subject: Request for Applications (RFA) Number 526-2012-000001  
"Public Policy Agendas and Presidential Elections"**

Dear Applicants:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Paraguay, is seeking applications from local Non-Government Organizations (NGO) to implement the "Public Policy Agendas and Collaborative Tools" program.

The fundamental objective of the "**Public Policy Agendas and Presidential Election**" program is to strengthen the capacity of political parties to structure programmatic engagement with voters on the basis of substantive policy issues and to address different stages of the policy process (policy formulation, policy making, policy implementation) in different contexts (elections, executive, congress).

Please refer to the Funding Opportunity for a complete statement of goals, expected results, and criteria for selection of successful concept papers and full applications.

Subject to the availability of funds, USAID intends to provide up to \$450,000 in total USAID funding via a Fixed Obligation Grant (FOG) instrument, to be obligated by April 6, 2012. The Regional Agreement Officer makes the final determination on the choice of instrument. Use of the FOG is contingent upon definition of milestones. Accomplishment of all milestones and acceptance by USAID are required in one year or less. USAID reserves the right to fund any or none of the applications submitted.

This RFA is being issued and consists of this cover letter and the following:

1. Section I – Funding Opportunity Description;
2. Section II – Award Information;
3. Section III - Eligibility Information;
4. Section IV – Application and Submission Information;
5. Section V – Application Review Information;
6. Section VI – Award and Administration Information;
7. Section VII – Agency Contacts; and
8. Section VIII – Other information.

For the purposes of this RFA, the term "Grant" is synonymous with "Fixed Obligation Grant"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answer document, and/or if needed, an amendment to the RFA will be issued.

---

U.S. Agency for International Development  
USAID/Peru, Regional Office of Acquisition & Assistance (ROAA)  
La Encalada Avenue, cuadra 17  
Monterrico – Surco  
Lima 33, Peru

Please submit all questions related to this RFA **no later than January 6, 2012**. Answers will be provided and distributed within five (5) business days.

Any questions concerning this RFA must be submitted in writing by email to both: Ms. Cynthia L. Shartzter, Regional Agreement Officer (RAO), at [cshartzter@usaid.gov](mailto:cshartzter@usaid.gov); and to Mr. Marco Ferreira, Acquisition Specialist, at [mferreira@usaid.gov](mailto:mferreira@usaid.gov).

Applications received after the deadline January 30, 2012 closing date will not be considered unless the reason for delayed submission is deemed by the RAO to be justified or it is in the interest of the Agency to waive this requirement.

Your application should be received by electronic email at the closing date and time indicated at the top of this cover letter at the place designated below for receipt of application. Applicant is requested to submit both technical and cost portions of its application in separate files as an attachment to electronic mail by the closing date and time indicated at the top of this cover letter. The Technical and Cost applications should be sent by e-mail to Ms. Cynthia L. Shartzter, RAO, at [cshartzter@usaid.gov](mailto:cshartzter@usaid.gov); and to Mr. Marco Ferreira, Acquisition Specialist, at [mferreira@usaid.gov](mailto:mferreira@usaid.gov). Hard copies should be sent to:

Cynthia L. Shartzter  
Agreement Officer  
USAID/Peru  
Av. La Encalada  
s/n, Cuadra 17 Lima, Peru  
Lima 33, Peru

Marco Ferreira  
Acquisition Specialist  
USAID/Paraguay  
Juan de Salazar 364 c/Artigas  
Asunción – Paraguay

**Application Timeline is noted below:**

January 30, 2012	Concept papers due
February 10, 2012	Applicants notified of concept paper status. Only selected Applicants asked to submit full applications
February 21, 2012	Full applications due via electronic mail (email)
March 14, 2012	Applicants notified whether they are recommended for awards or not. Award negotiation conducted with apparently successful applicant only, including pre-award survey if required.
April 6, 2012	Final Award made to successful applicant

Issuance of this RFA does not constitute an award commitment on the part of the Government. In addition, final award cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, the potential applicant is hereby notified of these requirements and conditions for award. Application is submitted at the risk of the applicant, should circumstances prevent award of a grant, all preparation and submission costs are at the applicant's expense.

Receipt of this RFA must be confirmed by written notification (e-mail) to the Acquisition Specialist at USAID/Paraguay identified above. It is the responsibility of the recipient of this RFA document to ensure that it has been received in its entirety.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section IV - Application and Submission Information;
- (b) Section I - Funding Opportunity Description;
- (c) This Cover Letter.

If your application is considered acceptable, USAID will schedule a pre-award survey and/or complete a Fixed Obligation Grant (FOG) Entity Eligibility Checklist by USAID at a mutually convenient time.

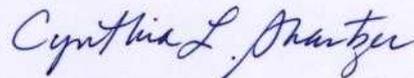
However, please note that USAID conducting a pre-award survey or completing the FOG Entity Eligibility Checklist do not constitute an award commitment on the part of the Government. A pre-award survey is a standard procedure for a prospective recipient that has never had a USAID grant, cooperative agreement, or contract. In these cases a USAID team examines the applicant's systems to determine the prospective recipient's organizational capacity, experience, accounting and operational controls and technical skills, or the ability to obtain them, in order to achieve the objectives of the program. Through the FOG Entity Eligibility Checklist USAID confirms Entity Eligibility: Organizational Integrity, Technical Capacity, Past Performance, Activity Implementation Viability, Pre-Award financial Review, and need for Institutional Capacity Building.

The FOG mechanism will not be used if there is an unacceptably high risk of failure or substantial changes in the milestones are expected as the recipient implements its program

The pre-award survey report/eligibility checklist is reviewed and taken into consideration prior to award. If, after conducting a comprehensive review of a potential recipient, the RAO is unable to make a positive responsibility determination, the RAO may either not make the award or award with "special award conditions" (high risk) (see 22 CFR 226.14). The RAO, however, may consider this choice to award with "special award conditions" only if it appears likely that the potential recipient can correct its deficiencies within a reasonable period of time.

Thank you for your consideration of USAID's initiative and interest in USAID/Paraguay programs.

Sincerely,



Cynthia L. Shartz  
Regional Agreement Officer

## **SECTION I – FUNDING OPPORTUNITY DESCRIPTION**

### **A. PURPOSE**

The fundamental objective of the Public Policy and Presidential Elections program is to strengthen the capacity of political parties to structure programmatic engagement with voters on the basis of substantive policy issues and to address different stages of the policy process (policy formulation, policy making, policy implementation) in different contexts (elections, executive, congress).

The program will support cross-party dialogue through political leader networks; party awareness campaigns on policy proposals with women and youth as promoters; intensive use of cell phone/IT to do policy polling; and presidential debates with candidates' public policy experts.

### **B. BACKGROUND**

Paraguay holds presidential elections in April 2013, the first since the 2008 election that ended 61 years of one-party rule, a major shift in Paraguayan political history. However, Paraguayan democracy still faces key challenges and the presidential election is a unique opportunity to address them.

The development challenge at hand has four components: 1) the persistence of clientelism, which severely distorts the government decision-making process; 2) poor public policy and management, which undermines the governance and development processes; 3) limited political party and citizen engagement in public policy matters, as evidenced in a 2010 LAPOP poll in which Paraguay ranks last—26th among countries of the Americas—in citizen understanding of the most important issues of the country; and 4) political parties inability to structure programmatic engagement with voters on the basis of substantive policy issues and to address different stages of the policy process in different contexts. The consequence is poor policy implementation and provision public services goods, lowering the quality of democracy.

USAID/Paraguay supports a variety of significant activities to address these challenges by strengthening public policy analysis as a governance tool, including: 1) Paraguayan Government efforts to develop a National Agenda based on a consensus-building process focused on key policy issues; 2) civil society organizations' policy advocacy efforts; 3) merit based civil service; and 4) a "Policy Agendas and Collaborative Technologies" project which helps political parties develop public policy proposals in a participatory manner.

This program will complement these efforts. Although parties have strong incentives to develop clientelistic exchanges, strengthening programmatic linkages with their constituencies could be an efficient party-building and office-seeking strategy that political parties may value in the context of the 2013 presidential elections, and at the same time contribute to more efficient policy-making and the quality of democracy.

### **C. EXPECTED OBJECTIVES AND OUTCOMES**

Support policy debate in 2013 presidential election via:

- 1) At least 4 political parties participate in cross-party dialogue through political leader networks with party leaders;
- 2) At least 4 political parties implement awareness campaigns on policy proposals with women and youth preferred as promoters;
- 3) At least 4 political parties implement intensive and broad use of cell phone/IT to do policy polling;
- 4) At least 3 presidential candidates' public policy experts participate in policy debates.

## **D. ACTIVITIES**

The envisioned implementation approach would include:

1) Cross-party policy dialogue through policy networks of political leaders from different political parties. This approach is modeled on 2 successful experiences, 1 from Argentina (RAP) and the other Paraguayan (Foro Político). The project will support similar networking activities in different regions of the country.

2) Political parties' awareness campaigns on key public policy proposals developed by parties. This program will go beyond the project Policy Agendas and Collaborative Technologies, helping parties share their key policy proposals and interact with citizens and government, including the executive and congress.

Women and youth as marginalized groups are more open to innovation and change of established patronage practices. The project will support youth and women activists to promote the party public policy awareness campaigns that are working with the senior leadership of the party.

3) Opinion polls on policy issues proposed by political parties with civil society grassroots participation using cell phone-transmitted data sent to a central server, with the participation of broad network of volunteers. Polling results will enable parties to gauge the reach of their policy messaging effort, and guide their interactions with citizens and government as they compete in the political system.

4) Debates with candidates' public policy experts. The program will promote debates on specific issues with the participation of the key experts of each presidential candidate.

## **PROGRAM MANAGEMENT AND ADMINISTRATION OF AWARDS**

Potential awardee will be subject to a financial responsibility determination issued by the Regional Agreement Officer that may include a pre-award survey and/or a Fixed Obligation Grant (FOG) Entity Eligibility Checklist.

### **Required Provisions for a Fixed Obligation Grant**

(1) USAID has the right to terminate the grant in whole or in part or suspend payments should the recipient become insolvent during performance of the award, the recipient has materially failed to comply with the terms and conditions of the grant, or continuation of the grant would not be in the national interest of the United States;

(2) The recipient agrees to maintain records of transactions related to the FOG agreement for at least three years. After the end of the agreement, USAID retains the right, at its discretion, to examine all or a sample of the recipient's records or transactions related to a FOG where concerns of implementation irregularities arise; and

(3) On submission of the voucher for payment for the final milestone, the recipient must certify that the grant is completed and the recipient will make no further claim against the grant.

## **MONITORING AND EVALUATION**

Under a FOG, the recipient's performance is evaluated and accepted by USAID based on achievement of milestones.

## **SECTION II – AWARD INFORMATION**

### **A. Estimate of Funds Available**

Subject to the availability of funds, USAID intends to provide approximately \$450,000 in total USAID funding over the twelve months life of the activity.

### **B. Number of Awards Contemplated**

USAID intends to make one award from this RFA. USAID reserves the right to fund any or none of the applications submitted.

### **C. Start Date and Period of Performance**

The period of performance anticipated herein is for twelve months, through April 05, 2013. The estimated start date is on or about April 6, 2012.

### **D. Type of Award**

USAID expects to award one Fixed Obligation Grant.

**[END OF SECTION II]**

### SECTION III – ELIGIBILITY INFORMATION

#### A. APPLICANTS

To be eligible for this program, potential applicant must:

1. Be a Local Non-Governmental Organization organized under the laws of Paraguay.
2. Attach official documentation of their formal legal status as an NGO in Paraguay. Local NGOs are not required to register with USAID. Local NGO applicants must be non-profit organizations.

Additionally, when considering making an award to a non-U.S. NGO with **limited or no previous USAID experience**, the RAO might determine to conduct a risk assessment to determine the organization's capabilities to complete the proposed activities.

#### B. COST SHARE

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from its own, private or local sources for the implementation of this program. Contributions can be either cash or in kind (in accordance with OMB Circular A-110 and 22 CFR 226.23).

The USAID/Paraguay requests that the recipient organization shall contribute at least 20% of the total federal share in cost-share.

Applications that do not meet at least the minimum cost sharing requirement are not eligible for award consideration.

**[END OF SECTION III]**

## SECTION IV – APPLICATION AND SUBMISSION INFORMATION

### CONCEPT PAPER INSTRUCTIONS (STEP 1)

There are two (2) Steps to the application under this RFA:

**Step One (1):** Submission of a concept paper (instructions below)

**Step Two (2):** Submission of a full application, if requested

**The Regional Agreement Officer (RAO) will notify Applicants on or about Friday, February 10, 2012 whether or not to submit a full application. Do not submit a full application unless requested.**

Applicants that are requested to submit a full application should follow the instructions included further down in in Section 4 of this RFA.

Before submitting a concept paper under this RFA, it is recommended Applicants review the full application requirements in this section to ensure the Applicant can meet all of the requirements listed therein. Reviewing these requirements will help the Applicant prepare for what must be done to increase the likelihood that their concept paper is successful.

#### **A. CONCEPT PAPER SUBMISSION INFORMATION (STEP 1)**

##### Submission Instructions

1. Electronic. Send one electronic copy Ms. Cynthia L. Shartzter, Regional Agreement Officer, at [cshartzter@usaid.gov](mailto:cshartzter@usaid.gov); and to Mr. Marco Ferreira, Acquisition Specialist, at [mferreira@usaid.gov](mailto:mferreira@usaid.gov). Email submissions must include in the following in the subject line: "Concept paper for RFA 526-12-000001, submitted to USAID/PARAGUAY by: [name of Applicant organization]. The Technical Application must have text in Microsoft Word format, and the Cost Application must have text in Microsoft Word format and with budgets/spreadsheets in Microsoft Excel format (non-protected and including formulas).
2. Hard copy: Send two complete versions of the concept paper in a sealed envelope labeled: Concept paper for RFA 526-12-000001, submitted to USAID/PARAGUAY by: [name of Applicant organization], addressed to:

USAID/Paraguay  
Juan de Salazar 364 c/Artigas  
Atn: Marco Ferreira

All concept papers (paper and electronic) must be received by the deadline or risk not being considered.

### DEADLINE FOR SUBMISSION OF CONCEPT PAPERS

**The deadline for concept paper submissions is 11:00 a.m. local time on January 30, 2012. Concept papers received after the deadline will only be reviewed at the discretion of the Mission. If both the paper and electronic applications are not received by the Mission by the above deadline, the application may be rejected.**

## B. CONCEPT PAPER FORMAT AND INSTRUCTIONS

### 1. Concept Paper Format

All concept papers must be:

- A maximum of six (6) pages;
- Typed, single space on letter size, not legal size, paper;
- 12 font size; charts, tables and spreadsheets may be not less than 10 font;
- Written in English
- In Word (version 2000 or later) or Adobe PDF format;
- Spreadsheets must be in MS Excel (version 2000 or later) or in tables that are compatible with MS Word.

The six-page maximum does not include the cover page or attachments. The attachments must be concise and not be a continuation of the requested six-page content.

### 2. Concept Paper Instructions

Concept papers must respond to the objectives and results included in “**Section I – Funding Opportunity Description**”. While USAID/Paraguay encourages creative partnerships and innovative approaches, we also strongly encourage applicants to be realistic in stating what can be reasonably achieved in the proposed project given the proposed activities, budget, and timeline.

Concept papers must include the following three (3) components. Please organize the concept paper according to the outline below.

#### a. Cover Page (does not count towards 6 page limit)

- USAID RFA # 526-12-000001
- Name and address of organization;
- Contact person (lead contact name; telephone number, fax and e-mail Information);
- Name(s) and title(s) of the principal author(s) of this concept paper;
- Total dollar amount of funds requested for the project period;
- Signature, name and title of the authorized representative of the applicant.

#### b. Technical Instructions (6 pages maximum)

The concept paper must include:

1 **Situation analysis:** A brief background on the specific development challenge/opportunity to be addressed by the concept paper.

2 **Proposed approach:** The proposed approach to this development challenge/opportunity; include goals, objectives, methods (activities), and anticipated results which are logically connected. Describe how the program will measure success and why the Applicant’s organization is well suited to achieve the proposed objectives. Include any innovative methods or approaches, if any, in this concept paper, including associated risks and benefits. Discuss how the proposed project impacts men and women differently and how the project design incorporates gender concerns.

3. **Budget:** Please submit a preliminary budget and timeline chart including type of budget support requested from USAID.
4. **Sustainability:** A discussion on sustainability: How beyond the life of the project will the proposed activities will be sustained after the grant ends.
5. **Capacity Building:** Specification of clear capacity building objectives of political parties and activities that will lead to achievement of those objectives.
6. **Partnerships:** Role of proposed partners (if any) (NGOs, government, academia and/or private businesses), why each was selected and how the Applicant will work with these partners in this proposed project.
7. **Cost Share:** Amount and source of cost share contribution in cash or in kind, by Applicant; Submit information indicating the financial and/or in-kind resources to be leveraged. The recipient shall contribute at least 20% of the total federal share.

**c. Attachments (includes past performance, institutional capabilities, and supporting information)** (No page limit; but please be concise)

- Concise description of the Applicant's development experience including project descriptions, results and evaluations;
- A brief statement of the history of the organization; its primary development focus, capabilities and challenges;
- An organizational chart of the Applicant organization;
- Proposed staff roles and responsibilities; and
- Period of performance (i.e. life of project) work plan.

**C. Concept Paper Review Criteria**

Concept papers will be reviewed using the following criteria:

- 1) Extent to which Applicant demonstrates understanding of the objectives and the expected results of the program;
- 2) Degree to which goal(s), objectives, methods and anticipated results are logically connected and represent a reasonable approach to the development opportunity; documented past performance consistent with type and scope of proposed activities; degree to which concept paper represents an innovative approach with an acceptable level of risk; degree to which project design incorporates gender concerns;
- 3) Feasibility of the proposed budget, timeline and work plan and proposed staff appear sufficient for the proposed project;
- 4) Specification of clear capacity building objectives and activities that will lead to achievement of those objectives;
- 5) Demonstrated creativity, logic and strategy in proposed partnerships;
- 6) Presence of a cost share component (required) and extent to which other partners would be involved;
- 7) Clarity and logical coherence of concept paper.

## **FULL APPLICATION INSTRUCTIONS (Step 2)**

Do not submit a full application unless requested to do so by the Regional Agreement Officer. USAID will only request full applications from Applicants who have submitted successful concept papers.

Missions will notify Applicants on or about February 10, 2012 whether to submit a full application or not.

**Questions: Any questions about this RFA should be submitted in writing no later than January 6, 2012 to [cshartzter@usaid.gov](mailto:cshartzter@usaid.gov) and [mferreira@usaid.gov](mailto:mferreira@usaid.gov). USAID/Paraguay will collect, organize and respond to these questions by posting a modification to the RFA on the USAID/Paraguay website at <http://paraguay.usaid.gov/business>.**

If the Applicant has been requested by a USAID Mission to submit a full application, please follow the instructions below.

### **DEADLINE FOR SUBMISSION OF FULL APPLICATIONS**

The deadline for full application submission is 11:00 a.m. Asuncion time is Tuesday, February 21, 2012. If both the electronic and hard copy applications are not received by the Mission by the above deadline, the application may be rejected.

The Successful applicant will be notified on/about March 14, 2012.

#### **1. FULL APPLICATION SUBMISSION (STEP 2)**

Submit full applications according to the instructions below:

##### **A. REQUIRED FORMS**

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance**
- **SF-424A, Budget Information - Nonconstruction Programs**, and
- **SF-424B, Assurances - Nonconstruction Programs**

Copies of these forms may be found through the following link:

[http://www07.grants.gov/agencies/approved\\_standard\\_forms.jsp](http://www07.grants.gov/agencies/approved_standard_forms.jsp)

##### **B. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT**

In addition to the certifications that are included in the SF 424, organizations must provide the following certifications, assurances and other statements (except as specified below). Complete copies of these Certifications, Assurances, and Other Statements may be found as "Attachment C" to this RFA.

- a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**;

- b.** A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see [22 CFR 227](#));
- c.** A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries;
- d.** A signed copy of the certification regarding Terrorist Financing is required by the Internal Mandatory Reference [AAPD 04-14](#);
- e.** A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking;”
- f.** Survey on Ensuring Equal Opportunity for Applicants, which can be accessed by pressing Control Key and clicking on the following link: [Equal Opportunity](#), which will address you to <http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf> and
- g.** All applicants must provide a Data Universal Numbering System (DUNS) Number. Applicants shall do the following in order to register a DUNS number:
  - access the web page: <http://www.dnb.com>;
  - click on D&B D-U-N-S Number;
  - click on “Are you a government contractor, vendor, or grant recipient?;
  - click on “Click here to request your D-U-N-S Number via the web”;
  - Follow the instructions.
- h.** Names of individuals authorized to commit the recipient;

**Central Contractor Registration and Universal Identifier (October 2010)**

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

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

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

**c. Definitions.** For purposes of this award term:

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

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS

number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

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

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

(4) Subaward:

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

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

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

(5) Subrecipient means an entity that:

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

## **h. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)**

### **a. Reporting of first-tier subawards.**

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

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to [www.fsrc.gov](http://www.fsrc.gov).

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

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

**b. Reporting Total Compensation of Recipient Executives.**

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

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

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

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

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

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

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

(i) As part of your registration profile at [www.ccr.gov](http://www.ccr.gov).

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

**c. Reporting of Total Compensation of Subrecipient Executives.**

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

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

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

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

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

(i) To the recipient.

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

**d. Exemptions**

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

(1) subawards, and

(2) the total compensation of the five most highly compensated executives of any subrecipient.

**e. Definitions. For purposes of this award term:**

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

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

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

(3) Subaward:

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

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

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

(4) Subrecipient means an entity that:

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

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

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

(i) Salary and bonus.

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

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

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

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

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

### **C. APPLICATION PREPARATION GUIDELINES**

For the purposes of this RFA, the term "applicant" is used to refer to the prime.

The application received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications that are incomplete or not directly responsive to the terms, conditions, specifications, and clauses of this RFA may be categorized as non-responsive and eliminated from further consideration.

The application shall be submitted electronically in two separate volumes: (a) technical and (b) cost or business application. Technical portion of the application should be submitted in one original and cost portions of application in one original.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date indicated as the dateline for the submission of full applications in this RFA, to the location indicated on page two of the cover letter accompanying this RFA. Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

Technical application should be specific, complete, and concise. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program.

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

## D. TECHNICAL APPLICATION FORMAT

The Technical Application shall contain the following sections: (1) a Cover Page; (1) an Application Summary; (3) a Program Narrative and **Milestone Plan**; (4) an Implementation Plan; and (5) Annexes (Resumes & Letters of Commitment). Page limitations are specified below for each section; applications must be on Letter size 8-1/2 by 11 inch paper, (210mm by 297mm paper), single-spaced, 12-point type or larger, and have at least one inch margins on the top, bottom, and both sides.

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

(a) Mark the title page with the following legend:

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

(b) Mark each sheet of data it wishes to restrict with the following legend:

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

**D.1 Cover Page:** A single page with the names of the organizations/institutions involved in the proposed application, with the lead or primary applicant clearly identified. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address, and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.

**D.2. Application Summary:** A two page brief description of proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program.

**D.3. Program Narrative:** In twenty (20) pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The technical description should provide in a succinct yet comprehensive manner a clear and complete statement of proposed activities; the approaches that will be implemented to ensure achievement of results; the expected overall impacts of the activities; the monitoring and evaluation of activities and the proposed indicators used to assess progress.

The technical description should also identify partnerships with local and U.S. (if applicable) organizations, their specific involvement in the proposed activities, operational arrangements for collaboration and potential cost sharing. Governance and administrative arrangements should be clearly presented including: management approach to the overall execution of the activities; organizational structure; administrative arrangements; logistical support; key personnel involved and corresponding roles and responsibilities.

**D.4. Implementation Plan:** In up to five pages please provide a project implementation plan (chart) including main activities of the project. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementer(s); and (b) time frame, noting estimated dates of completion. Indicate when the proposed program will be fully operational.

In addition to the narrative described above, the application should include as attachments:

- A draft letter of intent from resource partners, if applicable
- Requested due diligence information on resource partners, if applicable
- Curriculum Vitae for key personnel

The annexes may also include relevant information about alliance partners. This can include documentation of intent to participate by other partners. **Please note excessive documentation submitted under the annexes is neither necessary nor wanted.**

## **E. COST/BUSINESS APPLICATION FORMAT**

The Cost or Business Application is to be submitted by an applicant in order for a Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicant for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicant is encouraged to be as concise as possible, but still provide the necessary detail to address the following:

1. The cost application should be for 1 year (12-month program) using the budget format shown in the SF-424 and SF-424A "Application for Federal Assistance." If there are any training costs to be charged to this Agreement, they must be clearly identified. Standard Form 424 and 424A which can be downloaded from the USAID web site:
  - SF-424, Application for Federal Assistance at:  
[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)
  - SF-424A, Budget Information – Non-construction Programs at:  
<http://www.grants.gov/techlib/SF424A-V1.0.pdf>
  - SF-424B, Assurances – Non-construction Programs at:  
<http://www.grants.gov/techlib/SF424B.PDF>
2. The budget to be presented under Cost/Business Application should relate to results while also showing the inputs (see item 8, below) for each result as well as overall. A matrix format will probably be most suitable.
3. The proposed budget should provide cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities. Accordingly, those applications with minimal administrative costs may be deemed to offer a "greater value" than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may be deemed to offer a "greater value."

Include a chart containing the main activities of the program. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementers; and (b) time frame, noting estimated dates of completion; and (c) the respective cost.

4. The cost/business application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
5. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on line items.
6. **Budget Notes:**

An accompanying budget narrative by line item which provides in detail the total costs for implementation of the program and achieving results your organization is proposing per year. Please include the breakdown of all input costs according to each partner organization involved in the program and the breakdown of the financial and in-kind contributions of all organizations. **Similar information should be submitted in detail for all partner organizations.**

**Salary and Wages** – Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

**Fringe Benefits** – If the applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

**Travel and Transportation** – The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

**Other Direct Costs** – This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, branding and marking costs, environmental compliance, etc. The narrative should provide a breakdown and support for all and each other direct costs.

**Indirect Costs** –

Local Institutions usually do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government. Therefore no indirect costs should be included in the cost/business application. Local institutions submitting applications should treat all indirect costs as direct costs.

**Seminars and Workshops** – If applicable, the applicant should indicate the subject, venue, and duration of proposed conferences and seminars, and relationship to the objectives of the program, along with estimates of costs.

**Foreign Government Delegations to International Conferences**– Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government’s delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference “Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the Agreement Officer’s Technical Representative (AOTR).

**Source and Origin Requirements** – Goods and services provided by the Recipients under this USAID-financed award shall have their source and origin in the United States of America – Code 000 unless covered under the USAID Administrator’s approved blanket waiver authorizing local procurement from the cooperating country in an amount of up to \$5 million of commodities and services (within the total amount of the award).

This waiver authority would be provided under the provision in the Mandatory Standard Provisions for U.S. Nongovernmental and non-U.S. Nongovernmental recipients “Local Procurement” of the cooperative agreement for the purchase of goods and services supplied by local businesses, dealers or producers with the following limitations and requirements.

The waiver includes:

- Services of host country nationality;
- Commodities of host country source and origin;
- Commodities of host country source and any origin (Code 935)

This blanket waiver effectively establishes (per USAID award) a single \$5 million threshold for local procurement to replace those individual thresholds currently set forth in 22 CFR 228.40 Local Procurement and ADS Chapter 311. Under the authority of this blanket waiver, you may now purchase

- up to \$5 million of commodities of U.S. origin from local suppliers; OR
- up to \$5 million of commodities of geographic code 935 origin from local suppliers; OR
- up to \$5 million of professional services contracts from local suppliers; OR
- any combination of these commodities and professional services not to exceed \$5,000,000.

The waiver does not affect the eligibility of construction-related local procurements nor commodities and services which are only available locally as set forth at 22 CFR 228.

This amount is a single aggregate total comprised of all purchases under the prime award, all subawards, and purchases under those subawards. Recipient may choose to allocate portions of the waiver threshold authority to subawardees; however, it is recipient’s responsibility as the prime awardee to monitor and document the total local procurement.

If the total amount of purchases of goods and services reaches the \$5 million threshold

authorized in the waiver, then the requirements for local procurement revert to 22 CFR 228.40 (and as supplemented in ADS 311) for any additional purchases above the threshold.

Individual or case-by-case waivers which were approved before the effective date of the blanket waiver are not considered part of the \$5 million threshold.

This waiver does not include Restricted Commodities and Eligibility of Commodities under the Commodity Eligibility Listing (CEL). Waiver approval requirements for restricted commodities (as set forth in 22 CFR 228 Source Origin and Nationality Rules and ADS 312) remain in effect; eligibility of commodities as set forth in the CEL are also unchanged (Mandatory Reference to ADS 312).

7. **Proposed Payment Milestones:**

Under a Fixed Obligation Grant payment is based on accomplishment of programmatic milestones and verified product or goal of the recipient. Milestones are not tied to specific expenditures and do not necessarily reflect costs incurred by the recipient. However the combined total of the milestones must equal 100% of the expected cost of the award.

**Therefore the applicant shall provide a realistic one year milestone plan as part of the application.** The initial milestone should be proposed early in the grant period, for example, 14 days after the award of the grant, and generally no later than 30 days after award. Subsequent milestones should be proposed as frequently as is reasonable for the recipient's program and the period of the grant. Frequent milestones, such as every 30 days, reduce risk for both the recipient and USAID and allows for effective oversight of the grant. The final milestones shall be approved by the RAO at the time of award.

Examples of initial milestones are:

- Drafting and submitting an implementation plan for the grant as whole, if one was not included with the application and used to determine the milestones themselves
- Purchase orders of supplies or materials
- Recruiting and training new staff

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

9. Responsibility: The application should include information that substantiates that the applicant:

- (a) Has adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
- (b) Has the ability to comply with the Grant conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.
- (c) Has a satisfactory record of performance. In the absence of evidence to the contrary or circumstances properly beyond the control of the applicant, applicants who are or have been deficient in current or recent

performance (when the number of grants, contracts and cooperative agreements, and the extent of any deficiency or each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Grant Officer will collect and evaluate data on past performance of applicant.

- (d) Has a satisfactory record of integrity and business ethics.
- (e) Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g. EEO).
- (f) Organizational integrity: 1) Please provide a copy of your organization's Articles of Incorporation or other documentation which substantiates the legal character/registration of the entity in country/region of operation. 2) Please identify your organization's principals/key personnel/ organization structure
- (g) Organization technical capacity to achieve proposed FOG activity: 1) Staff expertise/management capabilities to be utilized for activity. 2) Intellectual property to be applied. 3) Technology resources to be applied. 4) Other assets available and commitments incurred to determine cash flow.
- (h) FOG activity implementation viability: 1) Are milestones appropriate to the activity? - "reasonable certainty about the cost and USAID can reasonably define accomplishment of the purpose of the grant or milestones." 2) Are milestones verifiable? 3) Is there sufficient information available on estimated costs to: i. price milestones such that the FOG represents a good value to the Agency? ii. identify risks to both the implementing entity and Agency and mitigate the risks through "special conditions"? iii. milestone pricing will ensure payments correspond to milestone achievement costs?

Applicant may submit any additional evidence of responsibility considered necessary in order for the Regional Agreement Officer to make a determination of responsibility. **Similar detailed budget should be submitted for all partner organizations.**

#### 10. USAID Disability Policy:

- (a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
- (b) USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID-funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

## 11. Environmental Compliance

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.3.11.2b and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

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

No activity funded under this grant will be implemented unless an Environmental Threshold Determination (ETD), as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). The ETD for the "**Public Policy and Presidential Elections**" Program covers activities expected to be implemented under this grant and the relevant compliance language from the ETD is noted below.

An Initial Environmental Examination (IEE- Annex 3) has been approved for the USAID/Paraguay "**Public Policy and Presidential Elections**" Program funding this grant. The IEE covers activities expected to be implemented under this grant. USAID has determined that a "**Categorical Exclusion**" applies to the proposed activities. This indicates that if these activities are implemented, they do not have an effect on the nature or physical environment.

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

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

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

When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the recipient shall:

- a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project

activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

- b) Integrate a completed EMMP or M&M Plan into the initial work plan.
- c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

Pursuant to 22 CFR 216.2 (c) (2) (i) (ii) (iii) and (xiv) a **Categorical Exclusion** is granted for activities that have components involving education, technical assistance, assessments, surveys, workshops, meetings and development planning:

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities).
- (ii) Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored.
- (iii) Analyses, studies, academic or research workshops and meetings.
- (iv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment.

A **Deferral** is issued for all activities under the Sustainable Landscapes Program that are not categorically excluded from additional environmental review. When the activities are better defined—at the time of approval of the award—a supplemental IEE will be submitted for these activities. The Cooperative Agreement will specifically mention incorporation of environmental review and compliance with 22 CFR 216 in activity design.

A **Categorical Exclusion** is issued to all “**Public Policy and Presidential Elections Program**” components involving education, technical assistance, workshops, meetings and development planning pursuant to, including

- Each activity manager or Contracting (or Agreement) Officer Technical Representative (COTR or AOTR) and the USFS Program Coordinator for these Activities are responsible for making sure environmental conditions are met (ADS 204.3.4). In addition, COTRs/AOTRs are responsible for ensuring that appropriate environmental guidelines are followed, mitigation measures, conditions and responsibilities in the IEE are funded and implemented, and that adequate monitoring and evaluation protocols are in place to ensure implementation of mitigation measures.
- The implementing contractor or partner will ensure that all activities conducted under this instrument comply with all relevant ETDs. Also, through its regular performance monitoring and reporting requirements, a section on environmental compliance (e.g. mitigation monitoring results) will be included, where the implementing partner will specify all actions taken, if any, and/or state that all activities were developed in accordance with applicable national laws and USAID guidelines.
- The MEO, and/or his designee, reserves the right to conduct spot monitoring checks for all of the activities listed in this IEE to ensure that the conditions listed in the IEE, ETD, and within SIGA are being followed.
- Language from “Environmental Compliance: Language for Use in Solicitations and Awards – An Additional Help for ADS Chapter 204” **must be** included in award documents (see: <http://www.usaid.gov/policy/ads/200/204sac.pdf>). It is the responsibility of the Agreement Officer to ensure that environmental compliance language from the ETD is added to procurement and obligating documents.

- If additional activities are added that are not described in this document, an amended Initial Environmental Examination will be prepared.

**[END OF SECTION IV]**

## SECTION V – APPLICATION REVIEW INFORMATION

### A. EVALUATION CRITERIA FOR ORGANIZATIONS INVITED TO SUBMIT FULL APPLICATIONS

#### Overview

The criteria presented below are tailored to the requirements of this RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications; and (b) set the standard against which all applications will be evaluated. **To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.**

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general cost reasonableness.

A Technical Evaluation Committee will be convened in order to conduct a technical review of the applications received. A cost analysis of all applications will be conducted simultaneously in order to assess the cost realism and cost effectiveness of applications.

To the extent that they are necessary (if award is not made based on initial applications), the Agreement Officer may request clarification and supplemental materials from applicants whose applications have a reasonable chance of being selected for award. Based on a careful review of technical, administrative, and cost-related factors, the apparently successful application most aligned with USAID's objectives indicated in the RFA will be determined. The entry into discussions is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the applicants with whom discussions are being held.

Applicants are reminded that the Government is not obligated to make an award on the basis of lowest proposed cost or to the applicant with the highest technical evaluation score. After the final evaluation of applications, the Agreement Officer will make the award to the responsible applicant whose application is judged to be the most advantageous in accomplishing the objectives of the program and offer the greatest value, cost and other factors considered.

Each application will be rated on a 100-point scale, with a maximum number of points assigned to each section. Award will be made based on the ranking of applications according to the selection criteria identified below.

**TECHNICAL APPROACH (35/100)**

- 1) The application reflects an understanding of the program description and its objective and clearly and realistically articulates how the Applicant will achieve the expected results.
- 2) The technical approach incorporates creativity, analytical depth and state-of-the-art technical knowledge to achieve the project's expected results.
- 3) Specification of clear capacity building objectives and activities that will lead to achievement of those objectives;

**STAFFING (30/100)**

Management structure and staffing are adequate for implementation of the program.

**IMPLEMENTATION PLANS (20/100)**

- 1) Application demonstrates openness to creative approaches that might strengthen the overall capacity of the organization to accomplish the objective of the project, i.e., alliances with academic institutions, think tanks, international experts, political foundations and actors that could be relevant to accomplish the expected results.
- 2) Application provides appropriate management vision to assure successful program implementation.
- 3) Feasibility of the proposed activities, budget and timeline appear sufficient for the proposed project;

**PAST PERFORMANCE (15/100)**

The applicant demonstrates that has successfully managed and implemented national and/or international development.

**Total Possible Points: 100 points**

**Cost Evaluation**

The Applicant must submit a detailed budget and budget narrative that supports its proposed cost estimates. Cost applications will be evaluated based on cost fairness, cost realism, completeness, and reasonableness. Cost realism is defined as the Applicant's ability to project costs which are realistic for the work to be performed; reflect a clear understanding of the requirements; and are consistent with the Applicant's technical capacity.

The proposed budget must be reasonable and cost-effective. Applicants should provide estimates for program management (including program monitoring). Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities. Those applications with minimal administrative costs may be deemed to offer "greater value" than those with higher costs.

The budget must be consistent with the activity design and implementation. Budget aggregation must be broken down by proposed activity, prime agreement, and sub-agreements. Sufficient resources must be budgeted to comply with USAID reporting, monitoring (including studies of the establishment of baselines, if needed), evaluation requirements, and close-out plan.

Administrative and management costs will be closely scrutinized to determine if financial resources are maximized to support the program approach.

### **Cost-sharing**

USAID endorses cost-sharing as an important principle in USAID-recipient relationships, and therefore requires that applicants to this RFA provide a minimum 20% cost share of the USAID-funded program costs.

Applications that do not meet at least the minimum cost sharing requirement are not eligible for award consideration.

Applicants are encouraged to contribute resources from its own, private or local sources for the implementation of this project. Contributions can be either cash or in kind (in accordance with OMB Circular A-110 and 22 CFR 226.23).

Recipient's cost share shall be contributed throughout the life of the agreement, commensurate with implementation, reported quarterly, and meet the standards set in 22 CFR 226.23.

### **B. BRANDING STRATEGY AND MARKING PLAN**

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; **22 CFR 226.91**.

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "apparent successful applicant," as defined in the regulation. The apparent successful applicant's proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in **22 CFR 226.91**. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in **AAPD 05-11** and in **22 CFR 226.91**. Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see **22 CFR 226.91(j)**. See Section VIII.

### **C. AWARD**

Award will be made to responsible applicant whose application offers the best value, cost and other factors considered. The final award decision is made, while considering the recommendations of the TEC, by the Regional Agreement Officer.

The Agreement Officer may conduct negotiations with one or more applicants but reserves the right to make award without consultations. USAID's objective is to award one Fixed Obligation Grant to the organization whose application is determined by the Regional Agreement Officer on a best value basis to be most advantageous to the United States Government.

The Regional Agreement Officer's decision about the funding of an award is final and not subject to review. Any information that may impact the Regional Agreement Officer's decision shall be directed to the Regional Agreement Officer.

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

**[END OF SECTION V]**

## **SECTION VI – AWARD AND ADMINISTRATION INFORMATION**

Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted to the Recipient for countersignature to the authorized agent of the successful organization electronically, to be followed by original copies for execution.

An award will be made only by the USAID Regional Agreement Officer upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

### **A. ROLES AND RESPONSIBILITIES**

The recipient shall be responsible to USAID/Paraguay for all matters related to the execution of the agreement. Specifically, the recipient shall report to the Regional Agreement Officer (RAO) and to the Regional Agreement Officer's Technical Representative (AOTR), within the office of USAID/Paraguay, who will be designated by the RAO prior to award.

### **B. REPORTING**

The Recipient will be requested to submit the following plans and reports:

- **Annual work plan, performance monitoring plan:**

A work plan will be developed by the selected applicant with USAID/Paraguay assistance and should be submitted no later than 15 calendar days of the award.

The work plans should include, at a minimum:

- Proposed accomplishments and expected progress towards achieving results;
- Timeline for implementation, including milestones and target completion dates;
- Plan on how activities will be implemented;
- Planned collaboration with other major partners;
- Any equipment or commodities to be procured.

- **Final Agreement Completion Report**

Thirty (30) days prior to the end of this award, the award recipient will submit a draft Final Report providing a final accounting of activities, progress made, results obtained, and lessons learned. Fifteen days after submission of the draft, the USAID AOTR will provide the applicant with comments.

The recipient shall prepare and submit three copies of a final/completion report to the AOTR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this agreement.

**[END OF SECTION VI]**

## SECTION VII – AGENCY CONTACTS

### **The Agreement Officer for this Award is:**

Ms. Cynthia L. Shartzter  
Agreement Officer  
USAID/Peru  
Av. La Encalada s/n, cdra. 17  
Monterrico, Lima 33  
Peru

Tel: 51-1-618-1435  
Fax: 51-1-618-1354  
[cshartzter@usaid.gov](mailto:cshartzter@usaid.gov)

### **The A&A Specialist for this Award is:**

Mr. Marco Ferreira  
USAID/Paraguay  
Juan de Salazar 364 c/Artigas  
Asuncion – Paraguay  
Tel: 595-21-220715  
[mferreira@usaid.gov](mailto:mferreira@usaid.gov)

### **The AOTR for the planned Award is:**

TBD  
USAID/Paraguay  
Juan de Salazar 364 c/Artigas  
Asuncion – Paraguay  
Tel: 595-21-220715

**[END OF SECTION VII]**

## SECTION VIII – OTHER INFORMATION

### **BRANDING STRATEGY - ASSISTANCE (December 2005)**

#### (a) Definitions

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

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

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

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

#### (c) Submission Requirements

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

##### (1) Positioning

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

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

For example: "The USAID and [Apparently Successful Applicant] Health Center."

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

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

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

## (2) Program Communications and Publicity

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

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

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

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

*What is the main program message(s)?*

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

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

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

*Please provide any additional ideas about how to increase awareness that the American people support this project or program.*

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

## (3) Acknowledgements

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

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

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

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

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

#### MARKING PLAN – ASSISTANCE (December 2005)

##### (a) Definitions

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

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

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

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

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

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

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

official (22 C.F.R. 226.91(h)(3)).

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

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

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

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

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

(c) Submission Requirements. The Marking Plan will include the following:

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

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

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

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

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

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

(3) A table specifying:

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

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

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

(2) Specific guidelines for addressing each Presumptive Exception are:

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

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

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

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

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

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

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

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

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated

objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

#### MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

##### (a) Definitions

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

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

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

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

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

*Subrecipient* means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

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

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

other assistance awards.

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.
- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

*"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own*

*identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”*

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

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

(11) The recipient will provide the Cognizant Technical Officer (CTO), currently known as the Agreement Officer’s Technical Representative (AOTR), or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

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

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

- (iv) USAID marking requirements would impair the functionality of an item;
  - (v) USAID marking requirements would incur substantial costs or be impractical;
  - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
  - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer (CTO), currently known as the Agreement Officer's Technical Representative (AOTR). The Principal Officer is responsible for approvals or disapprovals of waiver requests.
  - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.
  - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
  - (4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
  - (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.
- (e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

**[END OF SECTION VIII]**

**ATTACHMENTS AND ANNEXES**

- ANNEX A - Matrix for Budget Preparation
- ANNEX B – Mandatory Standard Provision for Non U.S., Nongovernmental Recipients
- ANNEX C - Certifications, Assurances, and Other Statements of the Recipient (May 2006)

**[END OF RFA-526-12-000001]**

**ANNEX A – MATRIX FOR BUDGET PREPARATION**

Public Policy and Presidential Elections	<b>Year 1</b>	<b>TOTAL</b>
<b>TOTAL USAID FUNDING</b>		
<b>TOTAL COST-SHARE</b>		

<b>Input Categories</b>	<b>Total</b>
1. Personnel	
<i>1.a.Salaries</i>	
<i>1.b.Consultants</i>	
2. Fringe Benefits	
3. Travel and Transportation	
4. Meetings and Workshops	
5. Equipment and Supplies	
7. Monitoring	
8.Other Direct Costs	
<b>TOTAL</b>	
<b>TOTAL COST-SHARE</b>	

\* The above mentioned input categories are “illustrative” only. Each input category must include a breakdown of all input costs.

**ANNEX B - Mandatory Standard Provision for Non U.S., Nongovernmental Recipients**

**TRAFFICKING IN PERSONS (OCTOBER 2010)**

**a. Provisions applicable to a recipient that is a private entity.**

(1) You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—

- (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- (ii) Procure a commercial sex act during the period of time that the award is in effect; or
- (iii) Use forced labor in the performance of the award or subawards under the award.

(2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

- (i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
- (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—
  - (A) Associated with performance under this award; or
  - (B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

**b. Provisions applicable to a recipient other than a private entity.**

(1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

- (i) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or
- (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—
  - (A) Associated with performance under this award; or
  - (B) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

**c. Provisions applicable to any recipient.**

- (1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.
- (2) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:
  - (i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
  - (ii) Is in addition to all other remedies for noncompliance that are available to us under this award.
- (3) You must include the requirements of paragraph a. (1) of this award term in any subaward you make to a private entity.

**d. Definitions.** For purposes of this provision:

- (1) "Employee" means either:
  - (i) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
  - (ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
- (2) "Forced labor" means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (3) "Private entity":
  - (i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).
  - (ii) Includes:
    - (A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
    - (B) A for-profit organization.
- (4) "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

[END OF PROVISION]

[END OF ANNEX B]

## **ANNEX C - CERTIFICATIONS AND ASSURANCES**

### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

### **2. CERTIFICATION REGARDING LOBBYING**

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

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

#### Statement for Loan Guarantees and Loan Insurance

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

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

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

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

#### **4. CERTIFICATION REGARDING TERRORIST FINANCING, IMPLEMENTING EXECUTIVE ORDER 13224**

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

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

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

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website :

<http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other

person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts. This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

## 5. Certification of Recipient

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

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

## PART II - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in

the illicit trafficking in any such drug or substance.

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

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

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

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

**PART III – SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS.**

Please include completed survey as part of the application package.

[Survey on Ensuring Equal Opportunity for Applicants](#)

**PART IV - OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

Name	Title	Telephone No.	Email address
------	-------	---------------	---------------

\_\_\_\_\_  
\_\_\_\_\_

**Taxpayer Identification Number (TIN)**

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

TIN: \_\_\_\_\_

## 2. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: \_\_\_\_\_

<https://eupdate.dnb.com/requestoptions.html>

## 3. PROCUREMENT INFORMATION

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

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

\$ \_\_\_\_\_

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

TYPE/DESCRIPTION (Generic)      QUANTITY      ESTIMATED UNIT COST

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

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

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

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

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

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

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the

percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

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

**4. TYPE OF ORGANIZATION**

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

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

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

**5. Estimated Costs of Communications Products**

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

\$ \_\_\_\_\_

\$ \_\_\_\_\_

**6. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)**

Requirements for Voluntary Sterilization Programs

(1) None of the funds made available under this award shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

Prohibition on Abortion-Related Activities:

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

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