



Issuance Date: September 15 2009
RFA Clarification Questions Due: September 29, 2009
Closing Date and Time for Application Submission: October 30, 2009

Subject: Request for Applications (RFA) Number 514-09-000005

RFA Title: Montes de Maria – “Enhanced Livelihood Initiative”

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program entitled “Consolidation and Enhanced Livelihoods Initiative for Montes de Maria (CELI-MM)”. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description for a complete statement of goals and expected results.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost principles (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations) may be paid under this award.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

Subject to the availability of funds, USAID intends to provide approximately \$32,000,000 in total USAID funding to be allocated over the 5 year period. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, 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;
8. Section VIII – Other Information.

Awards will be made to the responsible applicants whose applications offer the greatest value to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select “Find Grant Opportunities,” then click on “Browse by Agency,” and select the “U.S. Agency for International Development” and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer

All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. Any clarification questions concerning this RFA should be submitted in writing to Nubia Farfán, via email at nfarfan@usaid.gov by the date listed above. If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

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

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. **The Technical and Cost Applications thereof shall be submitted via e-mail** only to Omar Trigo at otrigo@usaid.gov and Nubia Farfán at nfarfan@usaid.gov. Receipt by any one of these two addresses will constitute timely receipt for this RFA. Late applications will generally not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications are not authorized for this RFA and will not be accepted.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value. The Technical portion of the application has a strict forty (40) pages limit. Applicants are advised that any pages exceeding this limit will not be evaluated. Applicants are reminded that the evaluators have to be able to read the application, so presentation and legibility are crucial.

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.

Any questions concerning this RFA should be submitted via e-mail to Omar Trigo at otrigo@usaid.gov and Nubia Farfán at nfarfan@usaid.gov. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,



Adam Cox
Agreement Officer

Table of Content	Page
SECTION I - FUNDING OPPORTUNITY DESCRIPTION	4
SECTION II - AWARD INFORMATION	13
SECTION III - ELIGIBILITY INFORMATION.....	15
SECTION IV - APPLICATION AND SUBMISSION INFORMATION	16
SECTION V - APPLICATION REVIEW INFORMATION.....	23
SECTION VI - AWARD AND ADMINISTRATION INFORMATION	26
SECTION VII - AGENCY CONTACTS.....	27
SECTION VIII - OTHER INFORMATION.....	28

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

1. Introduction

With the initiation of Plan Colombia a decade ago, USAID/Colombia significantly increased its resources to support USG efforts to combat narcotics trafficking by focusing in four strategic areas: First, alternative development (AD) supported the cultivation of hundreds of thousands of hectares of licit crops, created thousands of new jobs, improved governance in vulnerable municipalities, and reduced the influence of the illegal economy in targeted communities. Additionally, USAID's policy reform work enhanced Colombia's competitiveness and reforms to broaden economic development and help poor, rural populations take advantage of market opportunities. Second, USAID's support for displaced and other vulnerable persons facilitated the provision of social and economic opportunities for these groups, with the ultimate goal of their full inclusion in society. Third, the democracy and governance program strengthened human rights, enhanced political participation, increased access to justice, strengthened the judicial and legal oversight role across government, and assisted in making government more accessible and transparent to the average citizen. Fourth, USAID's demobilization and reintegration efforts supported the monitoring for the reintegration of ex-combatants and facilitated their access to basic social services, economic opportunities and support to relocate in receptor communities. USAID also supported direct legal and psychosocial assistance to victims of the illegal armed groups, their participation in the judicial and administrative processes for reparations offered by the government.

Despite advances made, challenges to counternarcotics (CN) and other types of programming in Colombia have become evident in recent years. In 2008, the Embassy underwent a comprehensive General Accounting Office (GAO) assessment and conducted a series of independent CN assessments. In addition, other assessments related to internally displaced (IDPs) and other vulnerable populations and democracy and governance resulted in the following recommendations:

- Citizen security and human rights safeguards are prerequisites for sustainable economic and democratic development.
- Strengthening state presence is crucial for CN, IDP returns and other program success
- Plan Colombia CN efforts have achieved only localized success
- More integrated and geographically targeted implementation on coca clusters would yield greater coca eradication and stabilization results
- The majority of coca farmers want to leave coca activities even if faced with less income, but they need food security and short-/medium-term assistance
- Community solidarity contributes significantly to the willingness of coca farmers to end coca cultivation
- Flexibility and speed are key to needs in the field
- Restrictions created by the GOC's zero coca policy should be taken into account in planning for economic development.
- CN efforts must focus on the balloon effect
- For income generation efforts to be successful, accompaniment, technical assistance, beneficiaries' previous experience and skills, food security and sufficient time frames are key elements
- Differentiated programming is required depending on the beneficiary profile
- Implementing organizations should have a permanent presence in the targeted region
- Clarifying land ownership is essential
- Improving local service delivery is dependent on local governments' ability to manage financial and human resources effectively and transparently.
- Involving citizens in local governance will make governments more responsive and increase citizen confidence in their government.

A. Colombia Strategic Development Initiative

The recently developed USG Colombia Strategic Development Initiative (CSDI) incorporates the above findings and defines an integrated and geographically targeted approach as the most effective way to sustain peace, security and development gains, reduce illicit crop cultivation and the efficacy of illegally armed groups, and ensure the delivery of state services in targeted

conflict regions throughout the country. It brings together complementary development initiatives, incorporates the best practices and lessons learned from the past nine years of Plan Colombia and prioritizes five geographic zones/corridors of the country where significant challenges to peace and security, coca eradication, rule of law, poverty alleviation, displacement prevention, and economic development remain. The CSDI corridors are (in no prioritized order): 1) Montes de María region; 2) Nariño/Putumayo Corridor; 3) Meta/Southern Tolima/Valle de Cauca Corridor (from La Macarena in Meta west through southern Tolima and Valle del Cauca to Buenaventura); 4) Southern Córdoba/Bajo Cauca/Catatumbo Corridor; and 5) Uraba/Northern Chocó Corridor. The CSDI requires that USG agencies work collectively with multiple GOC entities to achieve the initiative's goals. A significant amount of USG resources under this new approach will support the GOC's National Consolidation Plan in the prioritized CSDI zones of the country.

B. GOC National Consolidation Plan

The National Consolidation Plan (PNC) is a sequenced approach for creating permanent state presence in conflict zones; developing a visible and robust civilian response alongside integrated security operations; disrupting narcotics trafficking and promoting economic development.

The PNC is based on Presidential Directive No. 001 that creates a "whole-of-government" response involving multiple ministries and local and departmental governments in the development and implementation of regional consolidation plans. The Plan includes the provision of justice and security, social and economic development, governance, territorial and environmental management and property rights. It combines progress in achieving peace and security with the establishment of a consolidated, civilian-led state presence in strategically-important territories that have historically remained outside the control of the GOC. The goal of consolidation is to reach a "tipping point" where state presence and positive perception of the government is sufficiently well-established so that communities decide to align with their government rather than illegal armed groups and the coca industry.

Consolidation of strategic zones requires the initial establishment of basic security. Military action to secure territory, pursue illegal armed groups and, in the absence of a strong civilian government presence, protect civilians and provide sufficient means to guarantee their survival, including access to life-saving food and medical assistance, are critical elements. Once basic security is established, the presence of a broad array of civilian state institutions, including the police to provide long-term security and entities responsible for the provision of social and economic services to target communities, as well as the eradication of illicit crops are both crucial for consolidation.

Key to this consolidation approach is the close coordination and sequencing of the military, the police, eradication, and civilian government activities which occurs through GOC Regional Coordination Centers where, under civilian leadership, coordinators for each component work together as the process unfolds. The ideal end state of consolidation is that security is permanent, zero coca is a reality, the private sector is vibrant, and civilian state entities are providing the services expected of any legitimate and democratically-elected government.

C. USAID's Role in the CSDI

USAID's CSDI programs will provide support to the PNC implementing activities under the Mission's traditional alternative development, democracy and governance, vulnerable populations, and demobilization and reintegration portfolios, but with a significant change - under this new effort, activities will be fully integrated as opposed to separate or stove-piped and will have a regional focus rather than sectoral foci. These initiatives will require full engagement and coordination with civil society and the private sector. Colombian organizations will be in front of each effort to build local capacity and strengthen citizen confidence in local institutions. Programs will support, and not lead GOC, efforts and be implemented in the name of the GOC.

USAID is already coordinating closely with other Embassy entities, including the Narcotics Affairs Section (NAS), the Military Group, and the Department of Justice as well as the Political and Economic sections of the State Department to develop an integrated USG approach for the priority CSDI consolidation zones. Programs will include peace and security, illicit crop eradication, access to justice, justice sector reform and humanitarian and development interventions targeted at a wide range of populations. USAID's role in these regional efforts - implemented mainly, though not exclusively, through the CSDI programs -- will be to tactically support those interventions through conflict mitigation and management, humanitarian assistance, economic and social development and improved governance. At a regional level, Embassy interventions, including USAID programs, will be coordinated with public-sector activities such as the provision of social services or services to

citizens through the GOC Regional Coordination Centers located in targeted areas.

The Regional Coordination Centers, which coordinate GOC civilian presence in an area, including various sectoral experts, public services and agencies under one roof, will be the principal mechanism to ensure integration and synchronization of activities, both horizontally between sectors and vertically with national-level initiatives. There are currently four Regional Coordination Centers in Colombia and several others are planned, though the exact number is not known as yet. It is understood that the Regional Coordination Centers will receive support and coordinate programmatic funding from various GOC entities including ministries.

USAID will continue substantial national programs for Human Rights, Rule of Law, Victims, Demobilization and Reintegration and Internally Displaced and Other Vulnerable Populations programs.

Not all areas and clusters within the zones will require the same sequencing or mix of interventions. Each targeted zone will require a specific approach unique to its peace and security and development status, including proactive efforts to reduce any balloon effect in adjacent vulnerable communities. These may include expanding programming to neighboring communities or related peri-urban centers as appropriate.

2. Consolidation and Enhanced Livelihood Initiative – Montes de Maria (CELI-MM)

Montes de Maria is important to U.S. interests because it is situated along the northern coast a key drug transit corridor through Mexico into the United States. The Montes de Maria region has suffered decades of violence and forced mass displacements in the midst of a conflict fueled by narcotics trafficking and perpetrated by two of Colombia's largest illegal armed groups – the United Self-Defense Group of Colombia (AUC) and the Revolutionary Armed Forces of Colombia (FARC). Between 2000 and 2004, more than 140,000 people were displaced after massacres and assassinations committed by the AUC, at the same time that FARC violence devastated the area. The laying of landmines and unexploded ordnance by these groups contributed to the violence and the continued presence of these weapons hinders the return of communities today. AUC demobilization in 2006, combined with military operations in 2007-2008 against the FARC, resulted in a notable reduction in the presence of illegal armed groups in the area and subsequently drug trafficking activities. However, while the GOC military continues to maintain a presence in the area, civilian government agencies have been slow to bring state services to the region increasing the risk that security gains could be reversed.

The conceptual anchor for the GOC's consolidation efforts in Montes de Maria is the implementation of the Returns Plan (*Plan de Retornos*) based on the protocols developed by the GOC (*Acción Social*). Through this process of creating the legally-required conditions for the return of the internally displaced population (IDPs) of Montes de Maria to their communities, state presence will be consolidated to establish peace and security; ensure provision of basic public services; enhance opportunities for licit livelihoods and promote citizen participation. USAID through the CELI-MM will provide technical assistance and logistics support to the Montes de Maria Regional Coordination Center (MMRCC) and social and economic development activities focused on the creation of sustainable licit livelihoods for conflict-affected populations. The MMRCC coordinates GOC civilian presence in the region, combining various central government ministries, public services and agencies under one roof.

The CELI-MM will initially focus on four municipalities targeted in the GOC's National Consolidation Plan: Carmen de Bolívar and San Jacinto in the Department of Bolívar and San Onofre and Ovejas in the Department of Sucre. The National Consolidation Plan focuses on these four as the priority municipalities for the Returns Plan to facilitate the return of IDPs to their homes, and as municipalities particularly affected by the conflict. The CELI-MM implementer and USAID will work closely with the MMRCC coordinator and staff to conduct extensive consultations with civil society, local governments and other actors, and adjust or expand geographic focus as appropriate and as resources permit, within the Montes de Maria region. The CELI-MM will avoid duplicating existing consultative mechanisms when appropriate.

The CELI-MM will be predicated on the following guiding principles:

- A rolling assessment of the situation and adjustment of activities or interventions will be implemented, based on the changing situation and opportunities

- A permanent mechanism for consultations will be formed, as appropriate, in the context of the Montes de María Regional Coordination Center and will include civil society, local governments and other actors as part of the rolling assessment and activity planning.
- Leadership and implementation efforts will be based in the Montes de María region.
- Colombians and Colombian organizations will lead or co-lead; they will be the face of the program
- USAID efforts will follow GOC leadership, meaning that the resources and coordination with USAID will take into account the level of GOC "whole-of-government" commitment made to a particular region.
- Implementation must maintain flexibility and the ability to respond quickly to rapidly changing circumstances or developments
- The recipient will develop detailed regional expertise across multiple technical areas
- The recipient will be expected to build in the capacity to expand geographically and technically as appropriate within the Montes de María zone
- All income generating activities will be demand-driven and have strong market linkages.
- All medium and long-term livelihood activities will account for long-term sustainability both in terms of commercialization and continued technical assistance after the agreement period, where appropriate.
- All efforts will result in the development and/or strengthening of Colombian organizations to ensure they have the technical and administrative capacity to assume implementation responsibility.

The CELI-MM will emphasize immediate, short-term interventions to meet urgent economic and social needs to demonstrate presence of the government and to help the Montes de María area recover more quickly from the effects of the conflict. Small, quick-impact projects will serve to create confidence in the GOC, provide the opportunity to build relations between communities and local government and respond to local dynamics. Medium and longer-term interventions will be initiated simultaneously, with a particular emphasis on accompaniment and the provision of technical assistance.

The CELI-MM will focus livelihood and job creation efforts on small- and medium-sized rural enterprises, small farms and agribusinesses. However, the program will also promote non-farming livelihoods according to the productive capacity and potential of the beneficiaries in the area. Promotion of sustainable, competitive, and labor-intensive activities is essential. Efforts will link beneficiaries of economic interventions in the Montes de María zone with similar organizations, clusters, value chains, processors, and exporters in other productive zones of the country. Employment and value chain development will be focused in the rural and semi-rural areas where the GOC's influence is least and where the need for development is greatest, as well as in related areas with diverse vulnerable populations.

The strengthening of basic security in the Montes de María zone will be a *sine qua non* for the development of all USAID-supported activities, at which point security and economic opportunities will be mutually reinforcing. When appropriate, food security and economic development opportunities will be linked to ensure immediate livelihoods for vulnerable populations.

The strengthening of local Colombian organizations, both public and private, in the Montes de María activity will be crucial to achieving program objectives. The CELI-MM will build the capacity of, and develop linkages between public and private organizations. These organizations are the social and economic backbone of rural communities and key to the long-term sustainability of this effort. These will include, but not be limited to, mayor's offices, governor's offices, community councils, citizen's groups, associations, and cooperatives. The targeted organizations play an important role for local development and should identify and vet community needs through an extensive, transparent consultation process. The CELI-MM will support the development of contingency plans for the Montes de María zone to prevent human rights violations, including displacement and recruitment of children by illegal armed groups and to mitigate risk to communities due to legitimate state action to maintain public order and/or violent acts by illegal armed groups and criminal bands. Implementation will be done in the region and coordinated with national-level policy makers and policy development efforts. Similarly, the CELI-MM will foster informal local level initiatives aimed at responding to community needs, developing citizen oversight initiatives, promoting peace and controlling corruption.

The CELI-MM will support governance strengthening activities that build the capacity of municipal and departmental administrations to promote good governance and improve local service delivery. Specifically, the CELI-MM will be expected to continue the governance strengthening activities of the USAID-funded Regional Governance Consolidation Program

(RGCP) initiated in Montes de María in August 2009 and scheduled to terminate in September 2011. The program works with the municipalities of Carmen de Bolívar, Ovejas, San Jacinto, and San Onofre, and the Departments of Bolívar and Sucre, to strengthen municipal and departmental administrations, municipal and departmental assemblies, civil society, and local committees, among others. RGCP's goals in the region are to strengthen public administration and citizen participation, and improve health, education, and citizen security services. A central RGCP objective is to strengthen the municipal-level Return Committees which are tasked with implementing the Government of Colombia's Return Plan for the Montes de María region. The CELI-MM will work with the RGCP to integrate ongoing governance activities with other CELI-MM activities in the region. Additionally, sub-national elections for governors, mayors, and municipal and departmental assemblies will be held in October 2011. The CELI-MM will support efforts to ensure an effective transition from outgoing administrations to newly elected administrations, and will strengthen the capacity of new administrations to fulfill their roles and responsibilities.

Facilitating access to basic services (including specialized services targeted at various conflict-affected populations including, IDPs, demobilized, victims, child soldiers, Afro-Colombians, indigenous, persons with disabilities and women head of households), infrastructure, and citizen security will also be a key component of this program. The CELI-MM will support and/or facilitate the provision of critical infrastructure and basic services to meet the required GOC Accion Social protocols for the Montes de María Returns Plan (Plan de Retornos), as well as to demonstrate state presence and commitment in the zone. Rapid delivery of basic services based on community priorities will demonstrate government responsiveness and revitalize citizen participation. Assistance may include, but not be limited to: small scale electrification, attention to conflict-affected populations, water and sanitation, irrigation, health, education, housing, community infrastructure, and possibly tertiary roads.

Other efforts of the CELI-MM will include the development of incentive-based non-monetary awards for good governance and institutional development for public and private entities in the Montes de María zone as a way to promote consultative, inclusive development. Further, the program will work with the GOC to ensure the effectiveness of the MMRCC, currently based in Cartagena, to coordinate Colombian efforts in peace and security, licit economic development, attention to conflict-affected populations, as well as counter-narcotics efforts in the Montes de María zone.

3. Coordination with other USAID Programs

The CELI-MM activities will be complemented and coordinated with other USAID initiatives. For example, a new public policy program will support a joint GOC and USG policy, legislative and institutional reform agenda across all technical areas. This new program will provide technical assistance to support public policy development and/or reform in issues affecting USAID-supported initiatives including the CELI-MM. Policy issues will include, but will not be limited to, land access to finance, labor, displaced persons, persons with disabilities, and competitiveness.

USAID also plans to support a nationwide counter-narcotics outreach/ communications program intended to reverse the "culture of illegality" in Colombia's rural areas, which will further support CELI-MM objectives. As appropriate, the CELI-MM will be coordinated closely with any USAID-funded, national-level programs that have programmatic presence in the Montes area, such as the Assistance to the Internally Displaced and Other Vulnerable Populations Program, the Demobilization and Reintegration Program, and the Support Program for Attention to Child Ex-Combatants and Prevention of Recruitment of Children and Youth by Illegal Armed Groups and the Integrated Family Health for Internally Displaced and Vulnerable Populations Program. Finally, the USAID Regional Governance Consolidation Program will integrate and "join up" its ongoing governance strengthening work with the CELI-MM to ensure that governance activities are effectively and fully continued after 2011.

A. Guidance for Working with Afro-Colombian and Indigenous Methodology

USG programs that benefit Afro-Colombian and Indigenous communities should respond to participants' specific needs, priorities and capacities while taking into account their geographic, cultural, demographic and ancestral heritage. To achieve this, implementing partners must conduct consultations with communities and stakeholders in the design, implementation and monitoring of activities. Partners should also be aware of the existing power structures and strive to ensure participation of those at-risk of being under-represented. Fostering partnerships, ownership and legitimacy will enhance program sustainability.

USAID will provide guidance and training on our preferred methodology to achieve those results. The recipient will also be expected to coordinate activities with existing and upcoming Afro-Colombian and Indigenous support programs. The Implementer must also abide by USAID guidelines on how to collect and report on data of Afro-Colombian and indigenous program beneficiaries.

In project areas where Afro-Colombians or Indigenous communities reside, the Implementer must be familiar with and follow the guidelines in the attached Afro-Colombian Strategy/Indigenous strategy. Implementers should ensure their programs in these communities include one or more of the following objectives:

Increase Economic Development

- Enhance the enabling environment for investment and economic growth
- Increase capacity for income generation

Strengthen representation and participation

- Promote effective public policies and legislation
- Promote transparent and responsive governance
- Strengthen civic participation

Increase responsiveness to Afro-Colombian needs.

- Increase access to justice
- Increase access to human rights
- Improve the enabling environment to improve access to social services (education, health and housing)

4. Support for the Interim USAID/Colombia Strategic Framework

The CELI-MM activity relates to three of the new proposed Assistance Objectives and the following Intermediate Results for USAID/Colombia.

AO 1: Reduced dependency on the illicit drug economy through improved livelihoods

IR 1: Sustainable rural licit economies fostered

IR 2: Enhanced access to locally-provided services

AO 2: Reduced vulnerability of populations affected by conflict:

IR 1: Sustainable livelihoods fostered

IR 2: Policies and Programs made more responsive

IR 3: Stabilization and reintegration processes enhanced

AO 3: Enhanced Democratic Governance and Respect for Human Rights

IR 2: Improved public service delivery

IR 3: Improved respect for human rights

5. Illustrative Activities

- Catalytic support for productive and social infrastructure rehabilitation and construction
- Support for the *local implementation* of national level policies and/or mechanisms affecting the region, including land titling, restitution, and prevention of displacement. (Note: the national-level policy reform work will be done through another USAID program focused on public policy.)
- Support to create the conditions for return in key communities
- Support for immediate, short-term initiatives to meet urgent economic and social needs
- Support for medium- and long-term interventions for livelihood and job creation, including improving productivity, competitiveness, and market linkages of small businesses and farmers through targeted technical assistance, training and other support.
- Support local governments and local organizations on accountability and good governance in support of creating the conditions for return in key communities.
- Technical assistance and logistical support to Regional Coordination Centers.

6. Required Results

At the completion of this agreement, the following results will be achieved:

- Improved social services provision (including attention to conflict-affected populations) by local governments
- Increased licit livelihoods and job opportunities for conflict-affected population in the short, medium and long term.
- Strengthened coordination mechanisms that enable on-going civilian-led whole-of-government intervention with participation of civil society

7. illustrative Benchmarks

The following benchmarks will be used in measuring advances toward a sustainable consolidation end state in Montes de María: peace and security are permanent, civilian state entities are providing the services expected of any legitimate and democratically-elected government, licit livelihoods supplant illegal economic activities and citizen participation demands accountable and transparent governance. Where benchmarks are not completely within USAID control, proxy indicators will be developed.

- Enhanced access to locally-provided State services:
 - GOC investment: This would signal that the GOC is making the necessary investments in the region to improve the provision of state-provided services and public goods, including infrastructure and public services.
 - Use of basic social services increased
 - Public/social service municipal index (i.e. in each municipality measure the provision and the quality of sewage, drainage or an excreta disposal system, potable water supply, school facilities, health facilities and electricity services)
 - Health and education facilities created/strengthened
 - Municipalities strengthened
 - Increased local services ascribed to USAID assistance
 - Increase in GOC services over baseline
- Improved livelihoods, including those of conflict-affected populations:
 - Perception of changes in quality of life among beneficiaries
 - Average change in income level of beneficiaries
 - Gross Value of Output of supported crops
 - Rural enterprises created
 - Public-private alliances developed
 - Active financial services clients
 - Households with improved food security
- Improved Governance:
 - Perception of enhanced state presence (i.e. % of beneficiaries who recognize improved local, regional and central government actions)
 - Improved access to justice
 - Increased citizen participation
 - Local development plans elaborated with the participation of regions, localities and civil society
 - Perceived value of government increased (i.e. % of beneficiaries who believe their municipal government is addressing their priority concerns)
 - Community based organizations strengthened and better able to participate in local, regional and national initiatives.

8. Partnerships

The GOC will be leading the consolidation effort in Montes de María. GOC counterparts will be expected to provide in-kind human and material resources, and GOC funding will be actively sought by USAID. Targeted communities will be encouraged to participate fully in the decision-making process as well as to contribute toward community improvement projects when possible. Other in-kind local donations will be sought as applicable. Exact inputs from the GOC and communities will be contingent upon the exigencies of individual grants and activities. A strategy for leveraging additional resources will be determined with USAID early in program implementation.

Partnerships with national NGOs and foundations operating in the same areas will be actively sought, as well as coordination with international NGOs, donors, and UN agencies. In development of medium to long term projects such as livelihood and job creation, substantial leveraging (no less than two to one) will be required and should be sought from the private sector when possible.

9. Program Monitoring and Deliverables

Program indicators and a monitoring and evaluation plan, including a performance monitoring plan (PMP), will be developed within 90 days of the award.

The recipient will develop a monitoring and evaluation system to track and report program and internal indicators. However, the recipient will also be required to: 1) provide mutually agreed upon results information to the USAID Clearinghouse to be developed by the USAID Monitoring and Evaluation (M&E) Program; 2) facilitate the collection of impact (qualitative) information by the USAID M&E Program and 3) provide data and information to other USAID centralized reporting/tracking systems, such as the *Sistema de Informacion de Gestion Ambiental* (SIGA).

The implementer will be required to contribute to overall annual USAID/Colombia performance reporting through the Colombia Operation Plan Performance Report. The implementer will also be required to report performance to fulfill other reporting requirements. Program results will be reported in accordance with indicators for the Assistance Objectives cited above and the standardized Foreign Assistance Strategy Framework Peace and Security Program Objective/ Counternarcotics Program Area/Alternative Development Program Element, as well as the Investing in People Program Objective/ Social and Economic Services and Protection of Vulnerable Populations Program Area/ Social Services Program Element, and any other Program Objectives contributing to this integrated effort. Activity sub-grantees and sub-contractors will have monitoring and evaluation elements built into their agreements.

10. Management and Implementation Plan

USAID/Colombia will award a cooperative agreement for the implementation of this program description. The Mission prefers an effective, field-based management structure that will carry out the requirements of this program description complementing GOC efforts, not duplicating them. Strong preference will be given to organizations that have Colombians in positions of leadership and that use Colombian sub-grantees and technical assistance. This preference will be reflected in the selection criteria.

The recipient will develop and lead consortia of local organizations to provide the needed skills and systems required. The consortia will be no deeper than two levels, except in extraordinary, pre-approved circumstances (i.e. leader will utilize sub-grants or sub-contracts directly with local implementers). The recipient will be able to choose from a shared universe of local organizations not bound by exclusivity agreements to ensure that the best local talent is available and utilized for any given activity.

Exclusivity agreements with local organizations are strongly discouraged by USAID.

11. Key Personnel

The applicant will propose key personnel (no more than five) necessary to fulfill all the requirements of this program description. These include cost and quality control of all tasks and assignments undertaken to achieve the program objectives. Suggestions of key personnel include, but are not limited to, chief of party/director, senior evaluation officer and/or senior information officer. Innovative mixes and combinations of management area specialties and expertise based on the technical approach are encouraged. Because Colombianization is an overall objective for USAID/Colombia and a key component of this program, applicants are strongly encouraged to limit the number of expatriate personnel involved in the program. Key personnel and/or other technical staff proposed should reflect significant experience and success in dealing with the activity areas identified by the program description. Also it is expected that key and technical personnel have expertise in the following fields: agriculture, economic growth, private sector development, democracy and governance, natural resources, gender and infrastructure. It is preferred that field personnel come directly from the region. The candidates must be able to work with a

wide range of counterparts and beneficiaries, from USAID representatives and senior-level GOC officials to NGO representatives and local civil society.

All key personnel should be fluent in written and oral English and Spanish, and should have an advanced degree or equivalent experience in a relevant field identified above.

12. Approval of Implementation Plan

Within 30 days of the effective date of the award, the recipient shall submit an initial project implementation plan to USAID/Colombia for approval. Any changes made to the implementation plan, including strategic direction and tactical methodologies due to a change in program direction as well as the addition of new municipalities must be approved by USAID.

13. Agency and Recipient Collaboration or Joint Participation

Collaboration on targets established. USAID will provide input on appropriateness of targets and revisions thereto, based on knowledge of performance under other USAID programs, to maintain internal consistency of performance indicators. The goal of this collaboration is to assist the recipient in achieving the supported objectives of the agreement. Any revisions to the Program Description must be approved by the Agreement Officer.

Sub-awards. All sub-awards must receive consent from USAID.

14. Institutional Framework

CELI-MM activities will be carried out in close coordination with USAID and GOC authorities and in collaboration with other pertinent organizations. The implementer will meet regularly with USAID and other stakeholders to strategize about program implementation, share lessons learned, provide constant feedback for improved programming, and to modify the CELI-MM strategy as the situation evolves. The COP/Director will have overall responsibility for the program including managing all program staff and will be the principal point of contact for all purposes of the program. The COP will direct the program's technical and administrative operations from the region, with all management decisions and administrative responsibilities delegated to this office in the field. The COP/Director will be additionally responsible for work plans, staff supervision, coordination with USAID and USAID programs, program reporting, and achievement of results.

15. Life of Activity and Funding

This award is planned to be a five year cooperative agreement with a total budget of \$32 million. **There will be a mid-term impact evaluation at which time it will be decided whether or not the final two years will be funded.**

16. Gender

Relevant gender considerations will be integrated into activity design, with particular attention to ensuring equitable sharing of benefits amongst men and women. It is important that a "gender lens" is applied to activities so that one can identify opportunities for both women and men to reap the benefits achieved by the activity. Gender considerations also include the participation of both men and women in the activity.

17. Geographic Focus

The CELI-MM will initially focus on four municipalities targeted in the GOC's National Consolidation Plan: Carmen de Bolívar and San Jacinto in the Department of Bolívar and San Onofre and Ovejas in the Department of Sucre. However, the CELI-MM implementer and USAID will work closely together with the Montes de María Regional Coordination Center coordinator and staff to conduct extensive consultations with civil society, local governments and other actors, and adjust or expand geographic focus as appropriate and as resources permit, within the Montes de María region.

[END OF SECTION I]

SECTION II - AWARD INFORMATION

A. ESTIMATE OF FUNDS AVAILABLE

Subject to Availability of funds, USAID expect to award One (1) Cooperative Agreement based on this RFA. The anticipated total federal funding amount is \$32,000,000.00. The period of performance is for five (5) years with an anticipated start date of April, 2010.

The Government will issue one agreement resulting from this RFA to the responsible applicant whose application conforming to this RFA is the most responsive to the objectives set forth in this RFA and which offer the greatest value. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, and (c) waive informalities and minor irregularities in applications received.

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

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

B. NUMBER OF AWARDS CONTEMPLATED

USAID expects to award one (1) Cooperative Agreement based on this RFA.

C. START DATE AD PERIOD OF PERFORMANCE

The period of performance anticipated for this agreement is for a five (5) year period, from April, 2010 through April, 2015. This agreement is subject to award based upon availability of funds, approval of the Operational Plan and Congressional Notification.

D. TYPE OF AWARD

USAID plans to negotiate and award a Cooperative Agreement. A Cooperative Agreement implies a level of "Substantial Involvement Understandings on the part of USAID, as administered through the Agreement Officer Technical Representative (AOTR)".

E. SUBSTANTIAL INVOLVEMENT

According to ADS 303.3.11, USAID substantial involvement under a CA may include the elements listed below which are directly and specifically tied to the Program Description. The intended purpose for the USAID AOTR's substantial involvement during the administration of the award is to help the Recipient achieve the supported objectives of the CA. In this regard, USAID anticipates the following direct involvement in the carrying out of this Program:

- Approval of the Recipient's Implementation Plans.(to include measures to devolve authority and control to local organizations over the life of the strategic plan)
- Approval of Specified Key Personnel. For changes to Key Personnel, USAID approval is required and proposals should be submitted to USAID AOTR.
- Agency and Recipient Collaboration or Joint Participation.
 - Collaboration on targets established. USAID will provide input on appropriateness of targets and revisions thereto, based on knowledge of performance under other USAID programs, to maintain internal consistency of performance indicators. The goal of this collaboration is to assist the recipient in achieving the supported objectives of the agreement. Any revisions to the Program Description must be approved by the Agreement Officer
 - Approval of proposed changes in geographic activity areas.
 - Coordinate public events related to program activities with USAID public information officers, especially as related to information dissemination related to projects.
 - Approval of all sub-contracts or sub-grants.
- Approval of monitoring and evaluation plans (i.e. Performance Monitoring Plan – PMP)
- Agency authority to immediately halt a construction activity

[END OF SECTION II]

SECTION III - ELIGIBILITY INFORMATION

A. APPLICANTS

For this USAID program all types of entities may apply. There are no restrictions; all potential applicants may apply. USAID encourages applications from potential new partners. There are no other minimum qualification requirements.

B. COST SHARE

Cost sharing will be a condition of the award when it is made part of the approved award budget. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23, and can be audited.

For this RFA, the required amount of cost-share is 10% of the estimated award amount. That is, the successful applicant will provide a minimum 0.10:1 ratio of funding support (either through cash or in-kind contributions) to match the amount of federal (USAID) funding obligated. Cost share must support specific activities listed in an approved work plan, and cost share must represent new funds.

[END OF SECTION III]

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

A. POINT OF CONTACT:

Mr. Omar Trigo
Sr. Acquisition & Assistance Specialist
e-mail otrigo@usaid.gov

Mrs. Nubia Farfán
Acquisition & Assistance Specialist
e-mail nfarfan@usaid.gov

USAID/Colombia
Carrera 45 No. 24B-27
Bogotá, Colombia

Tel: 571/383-4135

Tel: 571/383-4138

Fax: 571/383-2309

B. REQUIRED FORMS

Applications shall be submitted in two separate parts: (a) technical application and (b) cost or business application

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 series may be found in Section VIII – Other Information. Also, the Standard Form 424 series can be downloaded from the following USAID web site, http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/

C. PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

In addition to the certifications that are included in the SF 424, both U.S. and non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found in Section VIII – Other Information.

- For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs.
- A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see 22 CFR 227);
- A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries;
- A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- A signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking"
- When applicable, a signed copy of "Participant Certification Narcotics Offenses and Drug Trafficking" (See ADS 206);
- Survey on Ensuring Equal Opportunity for Applicants; and
- All applicants must provide a Data Universal Numbering System (DUNS) Number.

D. APPLICATION PREPARATION GUIDELINES

USAID will accept applications from the qualified entities listed in Section III A of this RFA. Applications may be submitted by institutions individually or in group. In the case of a group, the application must include only one prime applicant, which shall enter into sub-agreements or contracts with partnering institutions. In this case, the Prime Applicant(s) will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners. For the purposes of this RFA, the term "applicant" is used to refer to the prime and any proposed partners.

Applications shall be submitted via e-mail, **by the date and time specified in the cover page**, only to Omar Trigo at otrigo@usaid.gov and Nubia Farfán at nfarfan@usaid.gov.

Applications shall be submitted via internet to the emails specified above (Technical and Cost/Business Application must be sent in separate files) with up to 5 attachments (2MB limit) per email compatible with MS WORD, and/or Excel in a MS Windows environment. There has been a problem with the receipt of *.zip files due to anti-virus software. Therefore, Applicants are discouraged from sending files in this format as we can not guarantee their acceptance by the internet server. The subject of each email should read as follows: "RFA No.: 514-09-000005 Title: "Enhanced Livelihood Initiative - E-Mail 1 of [#]".

All applications received by the deadline will be reviewed for responsiveness to this RFA. Section V addresses the technical evaluation procedures for the applications. Applications which are incomplete are not directly responsive to the terms, conditions, specifications, and provisions of this RFA may be categorized as unacceptable and eliminated from further consideration.

Applicants are reminded that e-mail is NOT instantaneous, in some cases delays of several hours occur from transmission to receipt. For this RFA the initial point of entry to the government infrastructure is USAID's Washington mail server.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the e-mail addresses indicated on the cover letter accompanying this RFA.

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

Telegraphic or faxed applications are not authorized for this RFA and will not be accepted.

Applications that are submitted late, incomplete or are considered to be non-responsive to this RFA may be eliminated from further consideration.

E. TECHNICAL APPLICATION FORMAT

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Technical applications should take into account requirements of the program and evaluation criteria found in this RFA.

The Technical Application shall contain the following sections: (1) a Cover Page; (2) an Application Executive Summary; (3) a Program Narrative; (4) an Implementation Plan; and (5) Institutional Capability and Past Performance. Applications must be on letter paper (8-1/2 by 11 inch), single spaced, 12 pitch type or larger, and have at least one inch margins on the top, bottom and both sides.

The Technical portion of the application has a strict forty **(40) page** limit; pages OVER 40 WILL NOT BE EVALUATED. The application shall be written in English and typed on standard 8 1/2" x 11" paper (216mm by 279mm paper) or A4 size (210mm by 297 mm), single spaced, font to be "Times New Roman" size 12, and each page numbered consecutively. Items

such as graphs and charts are to be included in the 40 page limitation. Cover pages, dividers, table of contents, and attachments (i.e. key personnel resumes, past performance summary table and past performance report forms) are also included in the 40-page limitation.

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."

1. Cover Page: A single page with the names of the organizations/institutions involved in the proposed application. In the case of a group, please indicate the lead or primary applicant clearly; followed by any proposed subgrantees and/or contractors (hereafter referred to as "subs"), including a brief narrative describing the unique capacities/skills being brought to the program by each institutions. 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.

2. Application Executive Summary: A brief description of proposed activities, goals, and anticipated results (both quantitative and qualitative). 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.

3. Program Narrative: please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The narrative should provide a clear description of what the Applicant proposes to do and application's structure should reflect the evaluation criteria listed in Section V. The following sections should be included:

4. Approach and Organizational Structure: 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.

5. Institutional Capability and Past Performance: In five (5) pages or less, include a description of all contracts, grants, and cooperative agreements which the applicant has implemented involving similar or related programs over the past four years with USAID or with other organizations (both commercial, governmental, and NGO). Include the following:

- a. Name and address of organization for which the work was performed;
- b. Current telephone number of responsible representative of the organization for which the work was performed;
- c. Agreement (or grant/contract) name and number (if any), annual amount received for each of the last four years, and beginning and ending dates; and
- d. Brief description of the project/assistance activity and a summary of results achieved.

6. Required supporting documentation

- CVs for Key Personnel are excluded from the page limitation
- Estimated workplan for program implementation;
- Anticipated personnel structure and CVs;

F. COST/BUSINESS APPLICATION FORMAT

The Cost or Business Application shall be submitted under separate cover from the technical application. Certain documents are required 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 applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details to address the following:

1. Include a budget **with an accompanying budget narrative** which provides in detail the total costs for implementation of the program your organization is proposing. Detailed budget notes and supporting justification of all proposed budget line items should be included. In addition, a summary of the budget must be submitted using Standard Form 424 and 424A.

The budget shall include:

a. The cost application should be for a period of up to 60 months using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.

b. The budget to be presented under Cost/Business Application should relate to results specified in Section I above, and delineate the cost inputs or each result, and a disaggregation between the USAID (Federal Share) and cost-share (Non-federal share) of the total program cost.

c. In the case of a group (consortia) application, the Cost/Business application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will treat for purposes of Agreement administration, identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

d. 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 be more cost effective than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may also be deemed to be more cost effective.

e. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

f. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program;

- g. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
 - h. The breakdown of the financial and cost share, if any, of all organizations involved in implementing this Cooperative Agreement;
 - i. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
 - j. A procurement plan for commodities.
 - k. The required Certifications under Section IV – C, should be included with the cost proposal
- l. 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 the inputs for the program line items for the Federal Share requested, and must correspond to the table below.

Input Line Item		Year 1	Year 2	Year 3	Year 4	Year 5
		Total	Total	Total	Total	Total
I.	Personnel Salaries and Wages					
II.	Fringe Benefits					
III.	Travel and Transportation					
IV.	Other Direct Costs					
V.	Indirect Costs/Overhead (see v. below)					
VI.	Sub-awards					
VII.	Total Estimated Cost – Federal Share (USAID Contribution)					
VIII.	Cost Share					
TOTAL PROGRAM COST						

- m. 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.
 - i. Personnel Salaries and Wages: Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
 - ii. 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.
 - iii. 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).

- iv. **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, etc. The narrative should provide a breakdown and support for all and each other direct costs.
- v. **Indirect Costs:** The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

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 submitted by local NGOs. Local institutions submitting applications should treat all indirect costs as direct costs.

- vi. **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 (000) and the cooperating country - Colombia (514) in accordance with the policies in ADS Chapter 311 and 22 CFR Part 228.
- n. Please include information on the organization's financial status and management, including:
- i. Audited financial statements for the past three years,
 - ii. Organization chart, by laws, constitution, and articles of incorporation, if applicable,
 - iii. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
 - iv. If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

2. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;

3. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

4. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

5. Projected budget, cash flow and organizational chart; and

6. A copy of the organization's accounting manual.

7. Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- a. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective

commitments of the applicant, nongovernmental and governmental.

- c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
- d. Has a satisfactory record of integrity and business ethics; and
- e. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

G. OTHER SUBMISSION REQUIREMENTS

1. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

2. Unnecessarily Elaborate Applications – Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

3. Explanation to Prospective Applicants – Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions should preferably be sent within two weeks of issuance of the RFA to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

4. Language – All applications must be in English.

END OF SECTION IV]

SECTION V - APPLICATION REVIEW INFORMATION

A. EVALUATION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA and are presented by major category, so that applicants will know which areas require emphasis in the preparation of applications. 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/business applications of all applicants will be evaluated for general reasonableness, allowability, allocability, effectiveness, and realism.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

Evaluation Criteria and Weight

1. Technical Approach - 40%

1.1 Application demonstrates an effective and creative approach to achieving the programmatic results outlined in the Program Description.

1.2 Application demonstrates an effective approach to working with host country/local organizations (Colombian NGOs and civil society organizations, educational institutions, public sector entities, for-profit consulting firms, producer associations and key private sector entities, etc) in the implementation of a broad scope of development and post-conflict programs, and for developing local capacity and institutional strengthening. This includes your plan for maximizing the participation of host country/local organizations and minimizing organizational tiers in project implementation.

2. Cost Evaluation Criteria

Following the technical review process, cost realism and cost effectiveness analysis will be conducted on the most highly ranked Technical applications. Cost has not been assigned a weight but will be evaluated for general reasonableness, realism, appropriateness, cost-effectiveness, allowability, and allocability. The cost realism analysis is intended to: (1) verify the Applicants understanding of the requirements; (2) assess the degree that the Cost application reflects the approaches in the Technical application, and (3) assess the degree that the cost included in the Cost application accurately represents the work effort included in the Technical Application.

3. Organizational Structure – 20%

Application offers an organizational structure with a broad range of technical competencies, capacity to expeditiously structure teams in implementation area, and ensures rapid program start-up. In addition, the application demonstrates the ability to be flexible and quickly adapt to changing circumstances and new geographic areas as required. Finally, the application demonstrates an effective staffing approach to coordination with GOC, other USAID programs, international donors and other relevant stakeholders. An effective staffing approach would be one that includes significant representation by Colombian professionals in key positions.

4. Personnel - 20%

4.1 Qualifications and relevant experience of proposed technical personnel. This includes technical capabilities, interpersonal relations, ability to work under difficult circumstances, and the ability to form productive relationships with host country counterparts.

4.2 Appropriateness of the proposed technical positions (expats and host country nationals; long and short term) to the proposed technical approach and consistency with SOW and budget.

4.3 Language capabilities and academic background of Key Personnel (U.S. DOS/Foreign Service Institute (FSI) - equivalent Level 3/3 Spanish is a minimum). Chief of Party must have a minimum FSI-equivalent Level 4/4 in English and a Masters degree in a field consistent with technical approach.

5. Past Performance - 20%

The Technical Evaluation Committee will make a reasonable, good faith effort to contact all references to obtain verification or corroboration of the following evaluation criteria:

- 5.1 How well an applicant performed
- 5.2 The relevancy of the program work,
- 5.3 Instances of good performance,
- 5.4 Instances of poor performance,
- 5.5 Significant achievements,
- 5.6 Significant problems, and
- 5.7 Any indications of excellent or exceptional performance in the most critical areas.

To ensure an effective past performance evaluation, the TEC, as part of the evaluation will :

- Evaluate the past performance of the team, consortia, or joint venture members and proposed subaward organizations, along with the applicant's past performance.

The TEC may use the Contractor Performance System (CPS) and the Past Performance Information Retrieval System (PPIRS) if there is information available on the recipient in these systems, taking into account the differences between performance under acquisition and performance under assistance.

Also the TEC may contact references other than those provided in the application.

These factors will be evaluated based on the offeror's past performance implementing and managing the following three types of programs:

- Complex programs to enhance livelihoods of vulnerable populations, including, but not limited to, displaced, Afro and indigenous groups, particularly in areas vulnerable or prone to conflict and/or the development of illicit crop production.
- Programs to increase community confidence, improve local capacity, strengthen local institutions and civil society organizations; and

- Programs where fundraising and/or leveraging private and public sectors resources resulted in bringing financial sustainability to productive projects, social service provision and physical infrastructure development.

Total Available Rating - 100%

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 – Other Information)

C. AWARD

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

The Agreement Officer's decision about the funding of an award is final and not subject to review. Any information that may impact the Agreement Officer's decision shall be directed to the 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 Agreement Officer or a specific, written authorization from the 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.

A. ROLES AND RESPONSIBILITIES

The recipient shall be responsible to USAID/Colombia for all matters related to the execution of the agreement. Specifically, the recipient shall report to the USAID Agreement Officer Technical Representative (AOTR).

B. ANNUAL WORKPLANS AND REPORTING

1. Annual Work Plans

The annual work plan and progress reports will include a data component that will provide information required for USAID's comprehensive data base (presently being developed). The data will also be consistent with the GOC data requirements as coordinated between USAID and the GOC. This information will be used by the Mission and the GOC to assess program impact and coordinate donor activities.

2. Quarterly Progress Reports

No later than 30 days following the close of each quarter, the implementing partner will prepare and submit quarterly progress reports to USAID. The reports will summarize progress in relation to agreed-upon objectives contained in the Annual Work Plan, and will specify any problems encountered and indicate resolutions or proposed corrective actions. For each action, the partner will designate responsible parties and establish a schedule for completion. The report will list activities proposed for the next quarter, noting where they deviate from the approved Annual Plan.

3. Quarterly Financial Reporting

The implementing partner will submit a quarterly financial report summarizing expenditures against the approved budget, accruals and projected expenditures. The format for the reports will be provided by USAID.

4. Final Agreement Completion Report

The recipient shall prepare and submit a final/completion report to the AOTR which summarizes the accomplishments and impact of this agreement, lessons learned, 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.

5. Success Stories

The implementing partner will provide USAID with short descriptions of specific program successes as frequently as appropriate in order to assist the Mission in accurately describing the impact of the program. These stories should wherever possible reflect the impact on specific communities or individuals.

[END OF SECTION VI]

SECTION VII – AGENCY CONTACTS

The Agreement Officer for this Award is:

Mr. Adam Cox
Agreement Officer
USAID/Colombia
Carrera 45 No. 24B-27
Bogotá, Colombia

Tel: 571/383-4192
Fax: 571/383-2309
E-Mail: acox@usaid.gov

The Acquisition and Assistance Specialist for this Award is:

Mrs. Nubia Farfán
Assistance Specialist
USAID/Colombia
Carrera 45 No. 24B-27
Bogotá, Colombia

Tel: 571/383-4138
Fax: 571/383-2309
E-Mail: nfarfan@usaid.gov

[END OF SECTION VII]

SECTION VIII – OTHER INFORMATION

MARKING UNDER ASSISTANCE INSTRUMENTS

I. 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 brandmark, 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 from technical experts while performing the evaluation.

II. 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 brandmark, 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 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.

III. 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 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) 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 45 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. 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 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.

INSTRUCTIONS FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled</td> </tr> <tr> <td>B. County</td> <td>Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify)</td> </tr> <tr> <td>H. Independent School District</td> <td>O. Net for Profit Organization</td> </tr> </table>	A. State	I. State Controlled	B. County	Institution of Higher Learning	C. Municipal	J. Private University	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Other (Specify)	H. Independent School District	O. Net for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	I. State Controlled																		
B. County	Institution of Higher Learning																		
C. Municipal	J. Private University																		
D. Township	K. Indian Tribe																		
E. Interstate	L. Individual																		
F. Intermunicipal	M. Profit Organization																		
G. Special District	N. Other (Specify)																		
H. Independent School District	O. Net for Profit Organization																		
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18.	To be signed by the authorized representative of the applicant A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)																
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		

BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	
8.				
9.				
10.				
11.				
12. TOTAL (Sum of lines 8-11)				
	Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal				
14. Non-Federal				
15. TOTAL (Sum of lines 13 and 14)				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	
16.				
17.				
18.				
19.				
20. TOTAL (Sum of lines 16-19)				
21. Direct Charges:		22. Indirect Charges:		
23. Remarks:				

INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. ½4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. ½1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. ½794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. ½6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) ½523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ½3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. ½1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ½276a to 276z - 276a-7), the Copeland Act (40 U.S.C. ½276c and 18 U.S.C. ½874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. ½327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

The Applicant 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 AID, 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) AID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

If the Applicant 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 Applicant establishes to the satisfaction of the AID 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 program.

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 Applicant by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant 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 Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Applicant.

(Applicant)

BY (Signature) _____ TITLE _____

TYPED NAME _____ DATE _____

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 subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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.

(Applicant)

BY (Signature) _____ TITLE _____

TYPED NAME _____ DATE _____

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 certifications are 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.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

CERTIFICATION REGARDING TERRORIST FINANCING Implementing E.O. 13224 (Revision 2)

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.

Signed: _____
(Typed Name and Title)
(Name of Organization)

_____ Date

KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

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.

OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. 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.

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
-------------------------------	----------	---------------------

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, 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, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does 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 (Generic)	QUANTITY EST. UNIT COST	GOODS PROBABLE COMPONENTS SOURCE	GOODS PROBABLE 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 (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
-----------------------------------	----------	------------------------	--------------------	--------------------	-----------------

(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 (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER	NATIONALITY for NON-US	RATIONALE
-----------------------------------	----------	------------------------	----------------------	------------------------------	-----------

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

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

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. 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.

8. 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.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

Yes No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50
 4-5 51-100
 6-12 over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

Less than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes No

5. Is the applicant a non-religious community based organization?

Yes No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes No

8. Is the applicant a local affiliate of a national organization?

Yes No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.