



USAID | ETHIOPIA

FROM THE AMERICAN PEOPLE

Issuance Date: October 11, 2008

Deadline for Questions: October 20, 2008 (08:00 a.m. Addis Ababa time)

Closing Date: November 13, 2008 (08:00 a.m. Addis Ababa time)

Subject: **Strengthening Civic Education in Primary Schools**
RFA No.: 663-A-09-002

Dear Prospective Applicants:

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program entitled “**Strengthening Civic Education in Primary Schools,**” as more specifically described in Section C-Program Description. The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objectives as described in the program description. Please refer to the Program Description for a complete description of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. 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 standards (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 for-profit organizations), may be paid under the agreement.

Subject to the availability of funds, USAID intends to provide approximately \$8,930,000 total USAID funding to be allocated over the five-year period to support these activities in two phases: 1 ½ years (phase I) and 3 ½ years (phase II). The duration and continuation of phase II will depend on the availability of funds and the effectiveness of the program during the first 1 ½ to 2 years. 1 ½ years after signature of the award the recipient must prepare and submit to the Agreement Officer a written non-competitive Continuation Application for review and approval for the second phase.

The Continuation Application shall detail the recipient’s progress and accomplishments and present a more focused, detailed, and updated plan for use of funding during phase II. The Continuation Application will provide persuasive evidence from the applicant that the initial funding has been used responsibly and effectively and that further funding is likely to be of significant benefit to the intended beneficiaries of the program. Funding of phase II, at the same or at a higher level, will be subject to: 1) continued satisfactory performance - achievement of milestones and targets – and reporting; 2) approval of the updated plan; 3) availability of funds; and 4) mutual agreement to proceed.

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:

U.S. Agency for International Development
Riverside Building
off Olympia /Haile G.Selassie
P. O. Box 1014
Addis Ababa, Ethiopia

Tel. : 251-11-5510088
Fax : 251-11-5510043
Website: <http://ethiopia.usaid.gov/>

USA Address:
2030 Addis Ababa Place
Washington, DC 20521-2030

1. Section A – Agreement Application Instructions;
2. Section B – Evaluation Criteria;
3. Section C – Program Description;
4. Section D – Certifications, Assurances, and other Statements of Applicant/Grantee
5. Section E - Branding Strategy and Marking Plan

The award will be a Cooperative Agreement based on the successful application. Award will be made to that responsible applicant whose application offers the greatest value to the Government. When awarding a cooperative agreement under this RFA, USAID must make a determination that the recipient complied with all applicable federal and USAID regulations and policies. When awarding a cooperative agreement under this RFA, USAID must make a determination that the recipient complied with all applicable federal and USAID regulations and policies.

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 to be considered for award, it must 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. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and USAID-ETHIOPIA 663-A-09-002-RFA inscribed thereon, to the Acquisition & Assistance Management (AAM) Office as noted below:

The Offerors should submit the proposal either:

- (i) Electronically - Option 1 – proposal by email compatible with MS WORD and Excel to caddis@usaid.gov and request for acknowledgement without proposal to Getachew Wondimagegnehu at Gwondimagegnehu@usaid.gov
- (ii) Electronically – Option 2 - The federal grant process is now web-enabled, allowing for applications to be received on-line. This RFA and any future amendments can be downloaded from the following web site: <http://www.grants.gov>. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance. The Contact Center hours of operation are Monday-Friday, 7 a.m. to 9 p.m., Eastern Time; help is unavailable on Federal Holidays. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. If this option is selected, please send an email of information only to caddis@usaid.gov .
- (iii) Via regular mail to US Postal Address – sending 3 paper copies of a technical proposal and one original and 2 copies of a cost proposal to: AAM Office-RFA-663-A-09-002, USAID/Ethiopia, 2030 Addis Ababa Place, Washington D.C. 20521-2030. NOTE: Pouch can take up to two (02) weeks; also all mail is subject to US Embassy electronic imagery scanning methods, physical inspections, and is not date and time stamped prior to receipt by USAID Acquisition & Assistance Office; or
- (iv) Local - Hand delivery/Int'l Courier Address (including commercial courier) of 3 paper copies of a technical proposal and one original and 2 copies of a cost proposal to USAID/Ethiopia, AAM Office-RFA-663-A-09-002, River Side Building, Off Haile Gebereselasie & Olympia Road, Addis Ababa, tel. 251-11-5510088.

Regardless of the method used Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Technical Proposals must not make reference to pricing data in order that the technical evaluation may be made strictly on the basis of technical merit.

NOTE 1: **Facsimile Submissions** are not authorized.

NOTE 2: Delivery to the post office or air courier representative does not constitute meeting the statutory requirement that proposals are received on time at the designated office. For purposes of recording the official receipt of applications, the date/time stamp of the procurement office at USAID/Ethiopia will govern. Applicants should retain for their records one copy of the application and all enclosures that accompany their application.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the Grants.gov opportunity.

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 cooperative agreement(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.

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 B – Selection Criteria;
- (b) Section A – Agreement Application Instructions;
- (c) Section C – Program Description;
- (d) This Cover Letter.

Questions:

Any questions concerning this RFA should be submitted in writing via email to caddis@usaid.gov, with copy to Getachew Wondimagegnehu at Gwondimagegegnehu@usaid.gov and reference the RFA number in the subject line. Answers to all questions received by the time specified will be issued as an amendment to the RFA. For all inquiries and questions, please provide a contact person's name, phone number and email address. **To allow adequate response time, questions must be received by Monday, October 20, 2008, 08:00 a.m. Addis Ababa time.**

Sincerely,

Cynthia L. Shartzter
Agreement Officer

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SECTION A – AGREEMENT APPLICATION PREPARATION***TECHNICAL APPLICATION FORMAT – PREPARATION GUIDELINES***

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant’s capabilities and expertise with respect to achieving the goals of this program. It should be specific, complete and presented concisely. The application should take into account and be arranged in the order of the technical evaluation criteria.

I. TECHNICAL APPLICATION

Application Format & Contents: The technical application may contain the following sections, as more fully explained below: Cover Page, Table of Contents, Executive Summary, Technical Application/Applicant Program Description including an Illustrative Implementation Plan - First Year Annual Work Plan outline (detailed to be submitted within 30 days upon award) and Monitoring and Evaluation Plan, and Annexes (Curriculum Vitae/Resumés, Past Performance References, and Letters of Commitment from implementing partners, if any). The technical application may not exceed 35 pages in length, Times New Roman 12 pt font, exclusive of the three annexes (curriculum vitae/resumés, past performance references, and letters of commitment from any implementing partners).

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant’s capabilities and expertise with respect to achieving the goals of this program. It should be specific, complete and presented concisely. The application should take into account and be arranged in the order of the technical evaluation criteria found in Section B.

A Technical Evaluation Panel will evaluate the technical applications in accordance with the evaluation criteria in Section B. The format for the technical application is the following:

1. Cover Page:

Include proposed Project title, **Strengthening Civic Education in Primary Schools, RFA Number, 663-A-09-002**”, name of organization(s) submitting application, authorized individual, telephone and fax numbers, e-mail, and address.

2. Executive Summary (no more than 3 pages):

This section should allow technical reviewers to quickly understand the critical elements of the application, highlighting the most salient features of the applicants’ technical vision and approach, the key personnel and management plan proposed, and the capabilities of the partners to accomplish the desired results.

3. Technical Application - Applicant Program Description (no more than 32 pages)

The technical application must provide an explanation of the proposed approach to continue to improve and meet the minimum results described in the Performance Indicators and Targets Section of the USAID Program Description and address the Evaluation Criteria. This section should include:

- a. Proposed program approach.

b. Coordination with others' previous experiences:

It is strongly requested that Applicants share best practices from each others' previous experiences and areas of expertise and look towards outside expertise for areas where value can be added through specialized services/skills. One component of the overall evaluation criteria will consider how Applicants demonstrate past impact in focus areas.

USAID/Ethiopia urges applicants to link with other USAID funded initiatives in education, democracy and government, etc., wherever possible to maximize impact.

c. Gender Considerations

USAID/Ethiopia considers the impact of gender equality, as a cross cutting issue, on the overall socioeconomic status of individuals, households and communities. In recognition of the impact of gender inequality on all the project interventions, applicants are encouraged to promote women's participation at the community and national level by providing them with equal access to and control over resources and mainstream the issue at different levels. Accordingly, USAID/Ethiopia requests applicants to demonstrate how gender mainstreaming will be implemented and gender inequality is addressed with in the context of the program.

d. Management Plan/Implementation Schedule

Applications must include a detailed management plan/implementation schedule in support of proposed activities. The management plan must include descriptions of the following elements:

- **Participating Organizations** - Proposed prime organization, other organizations, if any, and their relationships should be clearly described. This should include a description of the comparative advantage that each organization brings to this activity. Applications proposing a consortium or joint-venture-like mechanism rather than a prime/sub need to include a description of the management procedures to be followed regarding each member. Note that the USAID will only commit to a bilateral relationship so consortium and joint-venture arrangements must designate (authorize) one legal entity/individual able to bind all partners in the offer to the Government;
- **Organizational Structure** - Proposed overall staffing plan for the project team, including positions, roles and responsibilities of project staff, and a visual representation of proposed staffing structure through an organizational chart; where possible, describe arrangements for the location of all project personnel.

The application should propose a qualified technical team. Its composition will depend on the proposed technical approach and the result may be a combination of short and long-term technical expertise.

- i. Key Personnel: Applications should include an explanation on how the background and expertise of proposed personnel would complement each other and benefit to the program. Applicant must include as part of its application a statement signed by each person proposed as key personnel confirming present intention to serve in the stated position, their present availability to serve for the term proposed, and the full contact information of all employers of each proposed key personnel since 2006.

ii. Short-Term Technical Assistance The Application shall describe short-term technical and advisory assistance that will be needed over the life of project to supplement or complement the work of the long-term advisors and depending on the technical approach.

- Backstopping – if applicable to the proposed technical approach, and in accordance with desired results, the Application should describe regional and/or headquarters resources that will be made available to ensure maximum technical and administrative interaction.
- Policies and Procedures - Proposed policies and procedures for managing and directing the effort to ensure productivity, quality, cost control, and early identification and resolution of difficulties. Standard corporate policies and practices documentation submitted for Agreement Officer responsibility determination may be referenced, however the intent here is to highlight (unique) policies that may be created specifically in responding to the RFA;
- Implementation Planning – This must illustrate how the application intends to implement a management plan that contributes to the achievement of the stated results. The application should contain a detailed Mobilization Plan defining how quickly the recipient will be able to mobilize and assume responsibility. The second section should be a less detailed initial Annual Work plan that includes how the recipient envisions assuming responsibilities of project activities.
- A detailed work plan submission will be expected within 30 days of the award.

4. Annexes - Past Performance

The U.S. Government will evaluate the quality of the applicant's past performance. This evaluation is separate and distinct from the Agreement Officer's responsibility determination. The assessment of the applicant's past performance will be used to evaluate the relative capability of the applicant and other competitors to successfully carryout the program. Past performance of significant and critical sub partners and other types of partnership in offeror's application will be considered to the extent warranted by their involvement in the proposed effort.

Application must provide a list of Federal awards (prime contracts and grants) active in calendar year 2005, 2006 and or 2007. Include at least one reference (e.g. name, title, organization name, phone and fax number, and email address) for each award. Performance as a subcontractor and/or sub grantee may also be provided with contact (reference) information of a knowledgeable representative from the prime and the U.S. Federal agency – cognizant technical office(r).

The U.S. Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources outside of the U.S. Government. Applicants lacking relevant past performance history will receive a neutral rating for past performance. However, the application of an applicant with no relevant past performance may not represent the most advantageous application to the U.S. Government.

II. COST APPLICATION AND FORMAT

The Cost or Business Application is to be submitted as separate document/package from the technical application. The following sections describe the documentation that applicants for Assistance awards must submit to USAID prior to award.

Certain documents are required to be submitted by an applicant in order for an Agreement 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. While there is no page limit on the

Financial Plan/Business Management Application, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- A. A copy of the applicant's business/cost application on a compact disk, formatted in MS Excel.
- B. Present the summary budget by year for proposed activity including uses of USAID funds and any other cost share. Clearly indicate the applicant's commitment to match funds separate from other donor support. The portion of this matching fund which will qualify as cost-share under 22 CFR 226 should be clearly identified.
- C. Include a detailed budget, in US dollars, with an accompanying budget narrative which can facilitate USAID's determination that costs are allowable, allocable and reasonable. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site: http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/;
- D. A current Negotiated Indirect Cost Rate Agreement is required for the prime and sub-recipients.
- E. Required certifications and representations (as attached) are required for the prime and sub-recipients.
- F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
 1. 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;
 2. Budget, cash flow and organizational chart; and
 3. A copy of the organization's accounting manual.
- G. Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. This information is required for the prime and sub-recipients. The information submitted should substantiate that the Applicant:
 1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
 3. 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;
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

While there are no assigned points for the cost evaluation criteria, USAID will evaluate the total cost proposed for the principal tasks identified in this RFA for realism, completeness and reasonableness to:

- Assess the accuracy with which proposed costs represent the most probable and realistic cost of performance;
- Reflect a clear understanding of the requirements; and
- Ensure costs are consistent with the various elements of the applicant's technical application.

1. Professional Long-term Salaries

The applicant shall propose the level-of-effort for all long-term professional personnel. For each key personnel position, the application shall provide the functional labor category, the candidate's name, the number of workdays (level of effort), the fixed daily rate and the total annual salary amount. For other long-

term-professionals whose salary will be charged as a direct cost to the agreement, the application shall provide the functional labor category and position grade, the number of workdays (level-of-effort) for each, the fixed daily rate, and the total annual salary amount. Yearly budgets should reflect annual salary increases on the appropriate anniversary date(s), or on the date on which the applicant normally provides salary increases to all employees, according to applicant policy.

2. Professional Short-term Salaries

The applicant shall propose an overall level-of effort for all short-term professional personnel. The application will provide estimates for short-term professionals whose salaries will be charged as a direct cost to the agreement in the deliverables section of the application. The estimates will summarize the number of estimated workdays (level-of-effort) for short-term technical assistance, fixed daily rate estimates, and the total dollar amounts.

3. Fringe Benefits

Fringe benefits, if not included in the applicant's indirect costs, should be expressed as a percentage of salaries. The accompanying narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g. unemployment insurance, workers compensation, health and life insurance, retirement, severance pay, FICA, etc.).

4. Indirect Costs

The detailed budget breakdown will be structured in such a way as to clearly and easily identify the rate(s) being used, the base(s) to which the rate(s) is (are) applied, and the resulting amount of dollars. If the applicant uses more than one type of rate (e.g. overhead and G and A), the detailed budget breakdown shall

be structured so as to permit easy identification of the bases to which the rates apply. If the applicant has a NICRA (Negotiated Indirect Cost Rate Agreement), it should be submitted.

5. Travel, Transportation and Per Diem

The application will provide estimated travel and transportation costs, indicated by the number of trips, domestic and international, duration of travel, the number of individuals traveling, mode of transportation, unit prices, and the subtotal of all travel and transportation costs. Estimated per diem cost will be in accordance with Section 925 of the Standardized Regulations (Government civilians, Foreign Areas). The breakdown of per diem costs will be tied to the travel itinerary and work days, and will specify, location(s), number of days in each location, the per diem rate for each location, and the subtotal for all per diem costs. The application should include the total cost of travel, transportation, and per diem. Currently local travel per diem in Ethiopia per Mission guidance is \$35 (\$15 for lodging and \$20 for M&IE).

6. Program Activities

The total direct costs for program activities includes support for all core funded activities. Cost estimates for any additional program activities, other than those listed in this section, must be specifically identified and an explanation of the basis for the cost must be included in the application. Direct costs, which do not directly support program implementation, should be included in the "Other Direct Costs" line item as appropriate.

7. Other Direct Costs (ODCs)

The detailed budget breakdown will present the basis for all other items of direct costs. ODCs include costs such as allowances, communications, passports/visas, medical exams/inoculations (for international travel),

DBA insurance, medical evacuation services, purchase of nonexpendable property, lease/rentals of nonexpendable property, report preparation/ reproduction, publications, office rent, etc. For all items of ODCs, a breakdown of the individual cost categories and the basis for each cost estimate must be indicated.

H. Applicants that have never received a grant, cooperative agreement 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.

I. **Cost sharing** - Cost share is encouraged but not required.

IN ADDITION TO THE AFOREMENTIONED GUIDELINES, THE APPLICANT IS REQUESTED TO TAKE NOTE OF THE FOLLOWING:

- A. **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.
- B. **Acknowledgement of Amendments to the RFA** - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.
- C. **Preparation of Applications:**
- i. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
 - ii. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
 - iii. 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 pages_?___; and
 - b. Mark each sheet of data it wishes to restrict with the following legend:
"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

D. Submission of Applications:

1. After you have sent your application by email, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to advise you that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc. Each applicant is responsible for its submissions, so please inspect your own emails.
2. Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email. If you send multiple copies of the same email, we do not know if there has been any change from one email to the next.
3. Your organization should appoint one person to send in the email submissions. If we receive email submissions from more than one person in your organization, we do not know who the authorized person is, and we cannot tell whether there has been a change from one email to the next without considerable effort on our part.
4. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your organization's name is ABXY Consulting, and your cost proposal is divided and being sent in as two emails, the first email should have a subject line which says: " 663-08-046-RFA: ABXY, Cost Proposal, Part 1 of 2". If you do not do this clearly, we may not be sure of the correct order of the separate parts of your application. Our preference would be that each technical and each cost proposal be submitted as a single email attachment, e.g. that you consolidate the various parts of a technical proposal into a single document before sending it. But if this is not possible, please provide instructions on how the multiple parts are supposed to fit together, especially the sequence. What is obvious to you as the preparer of the document may not be obvious to us. Your application may not get optimal treatment if we are confused regarding the order and composition of your application.
5. The hard copies of Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.
6. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

E. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

F. Award

1. The Government may award one or more Cooperative Agreement(s) resulting from this RFA to the responsible applicant(s) whose application conforms to this RFA and offers the greatest value (see Section B). The Government may (a) reject any or all applications, or (b) accept other than the lowest cost application.

2. The Government may award Cooperative Agreement(s) resulting from this RFA on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with awardee selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.
3. Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this Agreement.
4. Foreign Government Delegations to International Conferences - Funds in this [contract, agreement, amendment] may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the Agreement Officer.

G. Authority to Obligate the Government: 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 Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

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

I. Environmental compliance: the Applicant will submit **An Initial Environmental Examination (IEE)** or appropriate environmental documentation for the proposed activities under this RFA in accordance with the USAID environmental regulation for approval.

SECTION B – SELECTION CRITERIA

1. Evaluation Procedures

The technical portion of Applications will be evaluated by a Technical Evaluation Committee composed of USAID Ethiopia and GFDRE staff in accordance with the Technical Evaluation Criteria (100 points) set forth in section 6 below. Thereafter, the cost management portion of the application of the Applicant(s) achieving the highest technical score(s) will be reviewed and costs will be evaluated for general reasonableness, allowability, and allocability.

To the extent that they are necessary, negotiations will then be conducted with the Applicant(s) whose application(s) have a reasonable chance of being selected for award(s), and submission of revised application(s) may be requested. An award(s) will be made to the responsible and responsive Applicant(s) whose application(s) offer(s) the greatest value, based on technical and other factors set forth in section 6 below.

2 Technical Approach

The Recipient should demonstrate a sound analytical basis for proposed approaches, strategies and interventions to improve the quality of primary education in selected regions. Proposals shall clearly state:

- the CA outputs that will be achieved with realistic milestones and targets defined;
- innovative, cost-effective, technically and culturally sound approaches, which can be endorsed by the respective regional education offices, that will be used to achieve the CA outputs, milestones and targets;
- local and international expertise required to achieve the CA outputs; and mechanisms to be used to integrate its activities effectively with the Government of Federal Republic of Ethiopia (GFDRE), other donors and other implementing partners of USAID.

3 Management/Institutional Capacity

Identification of innovative approaches and strategies that will lead to the achievement of the program goals is very important. But those strategies will not be implemented unless there is adequate management/institutional capacity. Therefore, the Recipient shall include in their proposal an organizational chart that is appropriate to undertake the proposed strategies and interventions. The organizational chart that will be proposed should also demonstrate lines of authority and staff responsibility, and a brief position description for each member of the technical staff.

4 Past Performance

The Recipient should provide references for similar work completed during the past three years that includes the type of contract/agreement, name of organization, program/project manager contact information, dollar value, period of performance and summary description of the work performed. It should also demonstrate past collaboration with host country governments at the national, regional and local levels.

5 Institutional Experience

The following institutional experience of the recipient will be reviewed by the TEC:

- Developing, implementing, managing and evaluating similar civic education activities;
- Promoting and coordinating participation of beneficiaries; and
- Collaborating closely with various levels of host country education systems.

6. CRITERIA FOR APPLICATION EVALUATION

Applications must demonstrate technically, culturally, and economically sound, appropriate, cost effective and feasible approaches to achieve the objective of CA, i.e. *to Strengthen Civic Education in Selected Primary Schools of Ethiopia*. Specific weighted criteria follow.

Applicants should note that these criteria: (1) serve as the standard against which all applications will be evaluated, and (2) serve to identify the significant matters which Applicants should address in their applications.

A. *Quality and Responsiveness (60 points maximum)*

1. *Technical Approach (30 points)*

- Sound analytical basis for proposed approaches, gender analysis, strategies and interventions, including an understanding of the cultural, demographic, and socio-economic factors related to strengthening civic education in primary schools.
- Clear summary of what is to be accomplished:
 - which CA outputs will be achieved, with realistic milestones and targets defined, and linkages with the program objectives demonstrated;
 - how the CA outputs, milestones and targets will be achieved, demonstrating innovative, cost-effective, technically and culturally sound approaches that can be endorsed by the respective regional education offices.
- A plan that clearly shows the number of woredas to be served per project region.
- Overall quality and ability of the Applicant to effectively bring various skills, disciplines and data-informed choices to the local context, i.e. regional, woreda and school context.
- Ability of the applicant to build on the work currently being done by the GFDRE, other USAID partners, other donors, local NGOs and schools.

2. *Management Plan (20 points)*

- Appropriate plan for coordinating, managing and integrating applicant's approach with other ESDP and USAID education partners engaged in promoting civic education.
- Appropriate systems to manage diverse activities expeditiously, soundly and at reasonable cost.
- Appropriate systems to incorporate and nurture participation of the host government institutions (Ministry of Education, regional state education bureaus, woreda education offices, etc) in planning, implementing and managing the program
- Explicit "exit strategy" that demonstrates how impact and critical processes will be continued after the CA termination date.

3. *Monitoring and Evaluation Plan (10 points)*

The overall quality of the monitoring and evaluation plan will be considered. Factors of review will include the appropriateness of milestones and targets and data gathering activities for monitoring CA outputs within in the context of USAID Basic Education Program.

B. Qualifications and Experience of Proposed Personnel and Staffing Pattern (20 points)

- Ability to effectively bring disciplines, functional skills, and experiences of proposed staff to bear on the proposed program
- Qualifications of proposed personnel and appropriateness for the responsibilities of each position

C. Institutional Experience (10 points)

The following institutional experience of the Applicant will be considered.

- Developing, implementing, managing and evaluating similar civic education activities;
- Promoting and coordinating participation of beneficiaries; and
- collaborating closely with various levels of host country education systems.

D. Past Performance (10 Points)

The Recipient should provide references for similar work completed during the past three years that includes the type of contract/agreement, name of organization, program/project manager contact information, dollar value, period of performance and summary description of the work performed. It should also demonstrate past collaboration with host country governments at the national, regional and local levels.

COST EVALUATION CRITERIA

Cost Effectiveness and Realism:

Proposed costs shall be analyzed for cost realism, the degree to which costs are allowable, allocable, and reasonable for the proposed task with reference to USAID's cost principles. Consideration will be given to the proposed costs, the assessed applicant understands of the RFA requirements, and consistency with the technical application.

SECTION C – PROGRAM DESCRIPTION

Strengthening Civic Education in the Ethiopian Primary Schools

1. Background

1.1 Civic education for producing responsible citizens

A school is responsible for the education of an individual in the fullest sense. In addition to the academic lessons, a school plays a fundamental role in helping the child get appropriate knowledge, skills and attitudes on community service; know his/her rights and respect the rights of others; accept differences and resolve conflicts peacefully; defend equality and justice; build confidence and self respect; respect his/her country's constitution, laws and regulations; participate in various social activities actively and become a responsible citizen. In other words, besides teaching academic subjects, a school must develop the skills, values and attitudes, that lead to civic and democratic behavior.

Civics education introduces children to democratic concepts and procedures. It is a means to help children get the right awareness on the political, economic and social situation of their countries. It helps students grow on the right track and become responsible citizen.

Besides teaching civic education in classrooms, there are also other ways and mechanisms of helping pupils/students become acquainted with democratic culture and societal values. In this regard, organizing community service initiatives and establishing a student council/government are some of the best proven experiences. Student government is an organization created by, and for, students to guarantee their active and democratic role in school life. It encourages students to take part in community activities; resolve school problems; promote healthy co-existence and cooperation; and practice decision-making. Student involvement in community services and student government helps fulfill obligations and exercise of rights, which will enable the individual to act as a responsible adult in the future.

1.2 Experiences of Some Countries

1.2.1 Boy/Girl Scouts

In many countries scouting and student councils contribute much to the democratization process and in shaping the youth towards the socially acceptable character formation. For instance, in the United States of America there are highly organized and institutionalized boy and girl scouts. The scouts have their own scout laws, scout oath (or promise), scout motto, and scout slogan. The scout laws focus on trustworthiness, loyalty, helpfulness, friendliness, kindness, obedience, thriftiness, etc.

Similar character formation also holds true with the girl scouts. The girl scouts in the USA is specifically meant to address the complex and ever-changing needs of girls. It works hard to:

- Promote involvement in science, technology, engineering and mathematics;
- Prevent youth violence in communities;
- Ensure that girls feel emotionally and physically safe;
- Encourages healthy living;
- Develop basic skills; and
- Give voice to girls in underserved communities.

The Kenya Scouts Association (KSA) is the national scouting association of Kenya. Scouting was founded in British East Africa in 1910, and became a member of the world Organization of the Scout Movement in 1964. The Africa Region of the World Organization of the Scout Movement has its main office in Nairobi, Kenya.

Scouting in Kenya focuses on community development needs. Community service is required for the early rank advancement and includes hospital visits, blood donations, helping the aged, planting trees, adult literacy campaigns, road and bridge construction, first aid training, building schools and homes for the aged as well as many other projects. The conservation of nature is a major program emphasis. The senior conservation badge is a required badge in order to earn the highest rank, Lion Scout. The Scout Motto is *Uwe Tayari, Be Prepared*, in Swahili. The program has been so successful that it has spread to other countries, including Uganda and Tanzania.

Besides the KSA, the Kenya Girl Guides Association (KGGA) is also the national guiding organization of girls in Kenya. Founded in 1920, the girls-only organization became a full member of the World Association of Girl Guides and Girl Scouts in 1963.

1.2.2 Student Government

In the United States of America, there are also student councils/governments in elementary, middle and high schools and colleges. Elementary, middle and high schools have student governments in order to help student exercise their rights and fulfill their obligations. The student governments in colleges and universities have a nation-wide association, which is known as American Student Government Association (ASGA). ASGA believes that all colleges and universities should have an effective, influential, and autonomous student governance organization which is the student body's official "voice."

The rural primary schools in Colombia and Guatemala, which are known as Escuela Nueva and Nueva Escuela Unitaria respectively, have well functioning student governments. In those schools student government is a curriculum strategy to promote emotional, social and moral development through practical experience. It is an education in liberty, peace, tolerance, mutual respect, healthy coexistence, solidarity, cooperation, decision-making and independence, understood as the autonomy to act freely and to assume the responsibilities that this implies.

Evaluations have shown that these programs have achieved much in terms of self-awareness and self-esteem among children from low-income families. A number of activities developed through school government allow youngsters to demonstrate their capacity, which helps to build self-esteem. A boy or a girl with high self-esteem is more likely to participate successfully in different activities. On the other hand, a boy or a girl who has poor self-esteem may find it difficult to demonstrate his/her ability to think or to work in a group. In those schools, student government is a curriculum strategy that introduces social practices into the daily routine of the classroom and the school involving students and teachers alike. It also encourages children to develop leadership and managerial skills.

1.3 The experience in Ethiopia

In many Ethiopian ethnic groups children are taught to listen to elders passively. They are not encouraged to interact with elders. Many families put the child's interest behind an adult's and give due respect and better place for the elders. As a result, many children become shy when interacting with adults and with their peers. The problem is quite common among children, both males and females. Moreover, the most popular method of teaching in the country has been the traditional teacher-centered approach which gives less attention to students' participation and activities.

The absence of co-curricular activities related to community services and student council/government has also contributed to their low civic participation. Pre - 1974, boy scouts were established in some urban

schools. The students in those schools practiced scout laws, scout oath, scout motto, and scout slogan. But, this didn't continue after 1974. Currently, there are very few schools that have an established boy scout group.

Similarly, there were student councils in secondary schools and at the Haileselassie I University (now Addis Ababa University). The student councils were banned after 1974 until there was a change of government. At present, there are student councils in universities and in some secondary schools although there is no significant participation of students.

Such passive methods for learning coupled with a suppressive style of growth has resulted in very low student contribution to community services and civic participation. Therefore, children and youth in Ethiopia rarely know their rights and responsibilities as citizens and are weak in exercising their rights. They do not ask questions or express their feelings publicly. It has therefore become imperative to help these children get exposure to societal experiences and develop desirable attitudes towards community services. In this regard, schools have the responsibility of preparing their students to develop socially acceptable behaviors and become confident citizen who know their own rights and also respect the rights of others.

2. Program Description

The objective of the Program is to develop democratic culture and instill social concerns (community service thinking) in growing youngsters through different methods. One of them is teaching the concept in the classroom through civic education programs. This requires producing and printing civic education textbooks and supplementary reading materials that would enhance teaching-learning. The others are through the establishment of boy and girl scouts and organizing student governments in schools, which will be carefully planned and coordinated to serve this purpose.

The program will support selected primary schools to nurture students to interact with teachers and peers, express their feelings, participate actively in the teaching-learning process, respect people, exercise decision making and take responsibility, etc. This would enable students to get quality education, develop necessary skills for exercising governance, and engage in community services that will lay the foundations for their effective civic participation as adults in their future life. In general, the objective of the program is to create a student community that:

- i) actively participates in the teaching - learning process and promotes peace, tolerance, respect, equality, justice and dignity, etc; and
- ii) develops self-esteem and engages in community service activities.

Indicators:

The following are indicators for the overall achievements of the above two objectives.

- Percent of students in target schools that participated actively in student government;
- Percent of target schools that enhanced students' participation in conflict management and dialogues on various social issues; and
- Percent of students in target schools that provided community services.

Three major activities shall be carried out to achieve the above two objectives. These are: (a) establishing and supporting boy/girl scouts and thereby enhance student participation in community development work;

(b) establishing and supporting student governments; and (c) assisting the development, printing/reprinting and distribution of supplementary reading materials that focus on civics issues and social concerns.

These activities will be implemented for three-years in each target schools throughout the country. The project will support 150 primary schools for the first two years and expand to 500 primary schools in the third year. In the fourth and fifth year the project will work in 350 focus schools because the first 150 target schools will graduate by the end of the third year.

These major activities of the project are elaborated in sections 2.1 – 2.3 below.

2.1 Establishing Boy and Girl Scouts in primary schools

Scouting aims at providing community service and building socially acceptable character, pride in citizenship, and personal fitness in life. Scouting endeavors to develop citizens who are physically, mentally and emotionally fit. It helps the youth to develop a high degree of self-reliance as evidenced in such qualities as initiative, courage, and resourcefulness. It assists the youth to understand the social, economic and political systems and have pride in their country's heritage. It will also enable them to have a keen respect for the basic rights of all people, have personal values and desired skills to help others, and get prepared to participate in and provide leadership in their society.

In Ethiopia, there were attempts to establish boy and girl scouts during the period of Emperor Hailsellassie. However, it was not systematically organized and coordinated and thus hardly met its intended objectives. In the current Ethiopian context, establishing boy and girl scouts have numerous advantages. Scouting will help the youth to develop self-esteem, socially acceptable character, and skills to help others. It will also enable them to participate in different community activities/services and exercise democratic culture beginning from their early ages.

Boy and girl scouting will enhance student volunteerism and civic participation through peer education and community service projects. To this effect, the activity will provide support to focus schools throughout the country for three-years. The illustrative activities will include:

- Building the capacity of school principals and teachers to enable them to establish boy and girl scouts in their schools;
- Develop guidelines and training manuals for boy and girl scouts;
- Establish boy and girl scouts in 150 primary schools during phase I and an additional 350 schools during phase II;
- Provide training and mentoring service to boy and girl scouts (both for students and teachers);
- Provide necessary facilities and equipment to boy and girl scouts; and
- Assist schools implement boy and girl scout programs successfully.

2.2 Establishing student government in primary schools

In Ethiopia, establishment of student government will have multitude advantages. As discussed in section 2 above, most families in Ethiopia, especially in rural areas, do not give children an opportunity to talk and discuss various issues of social concern. There are multiple cultural barriers that limit children from participating in a number of issues. The way children are brought up has a negative impact on their interaction with their peers and teachers. It also has implications on their future social adjustments because success in life partly depends on the way children are treated at home and school.

Student government is a mechanism by which students come together and exercise leadership. It is a mechanism for these children to simulate how they will organize and lead their student community. In doing so, they will develop socially, emotionally, and morally, which in turn will enable them to handle responsibilities. It also helps them to face challenges and find solutions to problems. As students participate in student government activities they learn methods of participation in community affairs. Students exercise

democratic election procedures while they vote to elect their student government leaders and council members.

The election shall be held semiannually or annually to provide an opportunity to more students to serve in the student government and to increase the frequency of election so that student would learn more about election procedures. This will enable students to get clear orientations on democratic election and participation procedures. The existence of functional student government will help students to engage in dialogue on various social issues with their peers, teachers, and parents. This will improve students' knowledge of various issues of social concern. Moreover, students will develop conflict management skills, which they will exercise within their school and community at large.

Student governments will be established in all the target schools that are identified for the establishment of boy and girl scouts. The project will provide support to each target school throughout the country for three-years. The illustrative activities will include but not limited to:

- Building the capacity of school principals and teachers to enable them to establish student government in their schools;
- Develop guidelines and training manuals for the establishment of student government;
- Establish student government in 150 primary schools during phase I and in an additional 350 schools during phase II;
- Provide training and mentoring services to students on how to organize and exercise student government;
- Provide the necessary facilities and equipment to student governments; and
- Assist schools to successfully implement the student government program.

2.3 Development, Printing, and Distributions of Supplementary Reading Materials

The Ministry of Education has developed and printed civic education textbooks for all grades. Currently, the curriculum and the textbooks are under revision and printing and distribution of these textbooks to schools will continue. However, there are no supplementary reading materials that focus on civic issues and social concerns. Therefore, in collaboration with the Ministry of Education this project will develop, print and distribute other supplementary reading materials that will be used by students in target schools. The supplementary reading materials will focus on various social concerns to enhance civic engagement and participation in community services by students.

The illustrative activities may include:

- Developing, printing and distributing supplementary reading materials to target primary schools; and
- Providing support to target primary schools to use the supplementary reading materials effectively in classrooms and co-curricular activities.

2.4 Geographic Focus

USAID's support to the "Strengthening Civic Education in Primary Schools" Program focuses on all nine regional states and two city administrations in Ethiopia. A total of 150 primary schools will be selected from all regions and city administrations to implement the 1 ½ years phase I program. Another 350 primary schools will be selected in the third year for phase II. In total, the program will be working in 500 primary schools throughout the country.

The schools will be selected both from urban and rural areas in consultation with the regional education bureaus and the wereda education offices. Whenever possible, those schools will be selected from schools that

are being supported by USAID through another activity although other non-USAID supported schools will be included.

The selection of those schools from all regions and city administration will be made proportional to the total number of schools in each region or city administration. Accordingly, the distribution of schools will be as follows.

No.	Region/City Administration	Target schools		
		Base Period	Option Period	Total
1	Addis Ababa	10	15	25
2	Afar	7	10	17
3	Amhara	30	80	110
4	Benishangul-Gumuz	7	10	17
5	Dire-Dewa	5	7	12
6	Gambella	5	7	12
7	Hareri	5	7	12
8	Oromia	40	117	157
9	SNNP	20	55	75
10	Somale	10	15	25
11	Tigray	11	27	38
	Total	150	350	500

3. Desired results and requirements

3.1 Desired results

The key Results that the grantee shall achieve by the end of the fifth year are:

- Boy and girl scouts functional in 500 primary schools;
- Student government functional in 500 primary schools;
- Manuals and guides for organizing and leading boy and girl scouts available in each target school;
- Manuals and guides for organizing and leading student governments available in each target school;
- An annual plan for community services prepared and implemented regularly in each target school;
- Annual plan for the election of the student government prepared and implemented regularly in each target schools;
- An annual plan prepared and implemented regularly by each student government in the target schools;
- Ten supplementary reading materials developed;
- A total of 145,000 copies of manuals, guides and supplementary reading materials printed and distributed to target schools;
- Adequate capacity to establish and make functional boy and girl scouts and student government created in each target schools;
- Student's participation in the teaching-learning process improved in all the target schools;
- Students' knowledge on various issues of social concerns improved in each target schools; and
- Strong school community that promotes tolerance, respect, equality, justice and dignity created in all target schools.

3.2 Monitoring results

The Recipient will develop and present the performance monitoring plan (with baseline) to USAID within 60 days of the Award. The Recipient will be responsible for providing activity and financial report to USAID/Ethiopia on a quarterly basis. The Recipient will provide a cumulative accomplishment report at the end of the second and the fifth year of the project. The recipient is also required to submit annual and quarterly progress reports to USAID and host government partners, namely, Ministry of Education (MOE), regional state education bureaus (RSEB), etc., not later than thirty days after the close of each quarter. Moreover, USAID (using an independent evaluator) will undertake an evaluation towards the end of the second year of the Program to assess the overall implementation of the Program during phase I and to determine how it should continue during phase II.

The specific data required are of two types: i) those that report on progress toward milestones and targets under this CA; and ii) those to measure the overall achievements of the program, indicators, such percentage of students in target schools that provided community services, etc.

The first type of data should include reporting on the outputs of the Program accomplished in each quarter. The second type will focus on reporting on the results of the Program. In both reports, data on students, teachers, and school principals, etc., will be disaggregated by sex.

The Recipient will be expected to work with USAID and its other implementing partners to ensure that all data it is collecting and providing uses harmonized systems. Such harmonized systems are essential if data collected by different partners, in different districts/zones, is to be aggregated for USAID's reporting purposes.

3.3 Branding requirements

Markings under this CA shall comply with the USAID "Graphic Standards Manual" available at www.usaid.gov/branding, or any successor branding policy.

The Program under this CA will be known as the Strengthening Civic Education in Primary Schools (SCEPS). USAID/Ethiopia envisions that this project will be promoted among targeted audiences to increase awareness that 1) the project is strengthening civic education in primary schools and 2) that this assistance is from the American people. The target audience includes schools, students, teachers and parents, the Ministry of Education, regional state education bureaus, teacher education institutions, woreda education offices, and prospective beneficiaries. Proper branding of the project is essential in order to market or position the project among the target audience.

As required by the ADS 320, the USAID Identity should be of equal or greater prominence than all other logos and symbols.

Branding Implementation Plan (BIP) and Marking Plan (MP)

The Recipient will prepare two plans concurrently. The first will be the Branding Implementation Plan (BIP) describing how the recipient will implement the Branding Strategy. The BIP should detail how the project will be promoted to beneficiaries and host-country citizens. It should outline the events and materials the Recipient will organize and produce to assist USAID in delivering the message that the assistance is from the American people.

The second will be the Marking Plan to enumerate all of the public communications, commodities, program materials and other items that will be co-marked with the USAID the Recipients identities.

Branding Implementation Plans and Marking Plans should all be unique, and address the specific circumstances, implementation challenges and working environments that each USAID award faces.

4. Program management

4.1 Substantial involvement

USAID shall be substantially involved during the performance of the Cooperative Agreements awarded in the following areas:

- (i) Approval of annual work plans;
- (ii) Designation of key positions and approval of key personnel;
- (iii) Approval of monitoring and evaluation plan.
- (iv) Concurrence on the selection subaward recipients and/or substantive provision of the subawards for approval by the Agreement Officer.
- (v) Carrying out monitoring to permit specified program comments or guidance because of interrelationships with other projects.

4.2 Roles and relationships

The Recipient is expected to work closely with the key Ethiopian and international partners involved in the implementation of USAID's Basic Education Program to ensure that educational activities are collaboratively programmed. In this regard, USAID requires that the work plan be accompanied by written concurrence from the Ministry of Education and the regional state education bureaus (RSEBs) for activities that would be carried out in the Ministry of Education or the region.

USAID expects that coordination and decision-making regarding ongoing implementation of USAID's education activities will be ensured through a consultative process that will involve the joint Host Government-USAID Technical Working Group (TWG). The core TWG for the Basic Education Program includes members of the USAID core team plus representatives of relevant departments of the Ministry of Education (the Education Sector Development Program and Planning Department /ESDPP/, the General Education Curriculum Framework Department, and Education Programs and Teacher Education Department) and MOFED. The expanded TWG, in addition to members of the core TWG, includes representatives from the Department of Information Communication and Technology, the General Education Quality Assurance and Examinations Agency, and the 11 education bureaus of regional states and city administrations. The Head of the Education Sector Development Program and Planning Department (ESDPP) in the MOE chairs the TWG. The TWG meets quarterly and provides a broad-based forum for consultation and input as the project progresses, to ensure that USAID maintains its core values of customer service and participation throughout the life-of-plan.

The USAID Education Team will undertake coordination on a more routine basis. The team will consult with the Ministry of Education whenever necessary to facilitate the success of the program. The education team will provide day-to-day management of USAID's education programs, with frequent informal small meetings and/or telephone conversations and emails with the implementing partner.

Key stakeholders include but are not limited to the Federal MOE; Bureaus/offices/representatives of education in regions, zones and woredas; regional, zonal, woreda, and kebele education and training boards, schools, and other governmental agencies in regions; other national and international partners; other USAID teams, particularly the health, population and nutrition teams; and other branches of the federal and regional governments that may contribute to the achievement of the CA objectives.

In areas where there is a possibility of linking the programs, efforts will be made to closely work and link the implementation of this activity with other community based activities and other Basic Education Program activities of USAID. The Recipient will also collaborate closely with USAID to establish processes and/or systems for broad-based customer consultation to ensure that USAID maintains its core values of customer service and participation throughout the life-of-project.

4.3 Work plans and reports

The Recipient will develop and present the first plan to USAID within 30 days of the award and the successive annual plans on the first week of July of each year to fit to the planning cycle of the Government of Ethiopia. The work plan has to include detail on its estimated deployment of Recipient's resources (personnel, equipment, budget) necessary to achieve proposed targets. The Recipient is required to submit concurrence letter from beneficiaries (MOE, RSEB, etc) along with its work plan.

The Recipient is also required to submit quarterly progress reports to USAID and host government partners, namely, the Ministry of Education (MOE), regional state education bureaus (RSEB), etc., not later than thirty days after the close of each quarter. Similarly the Recipient shall submit an annual report covering activities of the previous Ethiopian fiscal year to USAID and host government partners not later than July 31 of each year.

The Recipient shall be required to present both the implementation plans and reports to the USAID Basic Education Program Technical Working Group meeting. The TWG shall discuss the implementation plans and reports, and may give suggestions for improvement.

4.4 Designation of Key Positions and Personnel

The Recipient's proposal must define technical qualifications and experience, and position descriptions for any key positions and personnel that it proposes. Persons who are in positions that are considered to be essential to the successful implementation of the project shall be designated as key personnel. The number of those key positions should not be more than five or five percent of the recipient employees working under the award, whichever is greater. The Recipient should get USAID's approval for replacement of specified key personnel.

The Recipient should include a discussion of proposed headquarters supervision, support, and quality control efforts under the CA. Any direct level of effort attributable to headquarters activities is expected to be focused primarily on that required for sourcing information and technical expertise to support the field team.

The Chief of Party shall be authorized to represent the Recipient in all matters pertaining to the execution of the Program Description with the possible exception of CA amendments, for which authority shall be delegated at the discretion of the recipient. The Chief of Party will serve as the Recipient's Representative in Ethiopia for the purposes of the CA.

SECTION D - CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF RECIPIENT REQUIRED FOR COOPERATIVE AGREEMENT AWARD

Note: When these Certification, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

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

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
- (1). Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2). Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3). The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4). Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5). USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

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

Statement for Loan Guarantees and Loan Insurance

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

3. CERTIFICATION REGARDING DRUG-FREE WORK PLACE REQUIREMENTS**(a) Instructions for Certification**

- (1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the Cooperative Agreement. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For recipients other than individuals, Alternate I applies.
- (4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the Cooperative Agreement be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the Cooperative Agreement, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific Cooperative Agreement:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the Cooperative Agreement, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the Cooperative Agreement.

4. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this application, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this application is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "application," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this application is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) Certification regarding drug-free work place requirements, and 4) Certification regarding debarment, Suspension, and other Responsibility matters – Primary Covered Transactions.

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - 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: _____ (MM/DD/YYYY)

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.

PART III - 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 assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA’s must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant’s completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

PART VI - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Email Address
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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
- (c) 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.
- (d) 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 sub recipient in support of the sub grantee's or sub recipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

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

\$ _____

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

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

- (d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when: through manufacturing, processing, or substantial and major assembling of components, 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 COMPONENTS	PROBABLE GOODS SOURCE	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 (Non-US Only)	NATIONALITY	RATIONALE for Non-US
-------------------------------	----------	---------------------	------------------------------------	-------------	----------------------

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the most recent and/or 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.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and sub-contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

SECTION E – SPECIAL PROVISIONS

(A) SUPPORTING USAID’S DISABILITY POLICY IN CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS

USAID Disability Policy – Assistance (December 2004)

- (a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of non-discrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>

- (b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID-funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal with the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities. Questions about USAID’s Disability Policy can be directed to Lynne Schaberg, PPC/P at 202-712-1891 or Lloyd Feinberg, DCHA/DG, 202-712-5725.

- (c) USAID encourages Recipients to follow this policy to the maximum extent possible. By signing below, the Recipient acknowledges that it is aware of this policy and will apply it to the maximum extent practicable.

Signature: _____

Name: _____

Date: _____

(B) DEPARTMENT OF STATE GUIDANCE ENTITLED – SECTION 579 IMPLEMENTATION – TAXATION OF US FOREIGN ASSISTANCE

“Reporting of Foreign Taxes

- a. The recipient must annually submit a report by April 16 of the next year.
- b. Contents of Report. The report must contain:
 - (i) Contractor/recipient name.
 - (ii) Contact name with phone, fax and email.
 - (iii) Agreement number(s).
 - (iv) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year.

- (v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).
 - (vi) Any reimbursements received by the Recipient during the period in (iv) regardless of when the foreign tax was assessed and any reimbursements on the taxes reported in (iv) received through March 31.
 - (vii) Report is required even if the recipient did not pay any taxes during the report period.
 - (viii) Cumulative reports may be provided if the recipient is implementing more than one program in a foreign country.
- c. Definitions. For purposes of this clause:
- (i) "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.
 - (ii) "Commodity" means any material, article, supply, goods, or equipment.
 - (iii) "Foreign government" includes any foreign governmental entity.
 - (iv) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.
- d. Where. Submit the reports as email attachment to etvatreport@usaid.gov
- e. Subagreements. The recipient must include this reporting requirement in all applicable subcontracts, subgrants and other subagreements.
- f. For further information see <http://www.state.gov/m/rm/c10443.htm>.

(C) IMPLEMENTATION OF E.O. 13224 -- CERTIFICATION REGARDING TERRORIST FINANCING

Before making the award of a grant or cooperative agreement to a non-governmental organization, the Agreement Officer must obtain a certification from both U.S. and non-U.S. organizations, substantially as follows:

"As a condition of entering into the referenced agreement, [name of organization] hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182). [Name of organization] further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B)(iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term."

Solicitation No.	_____
Application/Proposal No.	_____
Date of Application/Proposal	_____
Name of Applicant/Sub-grantee	_____
Typed Name and Title	_____
Signature	_____

Please indicate concurrence to standard provisions that can be viewed at USAID website www.usaid.gov/pubs/ads/300/303.pdf

Also, as per AAPD 02-04, dated March 20, 2002, it is mandatory to incorporate the following Standard Provisions in all solicitations and awards:

“PROHIBITIONS ON TRANSACTIONS WITH INDIVIDUALS OR ORGANIZATIONS ASSOCIATED WITH TERRORISM:

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

D Non-Federal Audits

In accordance with 22 C.F.R. Part 226.26 Recipients and subrecipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations.” Recipients and subrecipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

SECTION F - BRANDING STRATEGY AND MARKING PLAN

1. BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

(c) **Submission Requirements** At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

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

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

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].*

Note: the Agency prefers "made possible by (or with) the generous support of the American People"

next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by."
USAID prefers local language translations.

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

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

(2) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers. What communications or program materials will be used to explain or market the program to beneficiaries?*

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

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."*

Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

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

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

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

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

(3) Acknowledgements

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

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

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

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

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

2 MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments,

reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

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

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

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

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

(b) Submission.

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

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

(1) A description of the public communications, commodities, and program materials that the recipient will produce 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, audiovisual 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 an exception.

(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 costbeneficial 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.

3 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 ___ 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 not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

[End of Provision]