



**ANNUAL PROGRAM STATEMENT – LOCAL NGO’s - DEVELOPMENT GRANTS  
PROGRAM – APS # M/OAA/GRO/ALPS-09-001**

To Interested Applicants:

The United States Agency for International Development invites proposals in response to the Annual Program Statement (APS) for the Development Grants Program (DGP). The authority for the DGP is found in Section 674 of the Consolidated Appropriations Act of 2008.

USAID invites applications from indigenous Non-Governmental Organizations<sup>1</sup> (hereafter referred to as NGOs) interested in the newly established Development Grants Program. The United States Government, through USAID, will seek applications from prospective local NGO partners to implement development activities in support of USAID programmatic goals in specified countries. Selected USAID Missions in Africa, Asia, Latin America and Europe and Eurasia regions will participate.

The synopsis for this opportunity is detailed below. This synopsis contains all the updates to this document that have been posted as of **08/29/2008**. If updates have been made to the synopsis for this opportunity, update information is provided below the synopsis.

### **Synopsis Modification History**

There are currently no modifications to this opportunity.

### **Program Description**

In support of selected USAID Missions’ priority sectors of Environment, Dairy, Microenterprise, Women’s Empowerment, Water and Democracy and Governance, the Office of Development Partners in USAID/W is initiating a new program, entitled the Development Grants Program, to provide opportunities to development organizations that have had limited prior funding from USAID. This program provides for a two-step process. The first step is a request for concept papers. The second step is the process in which USAID requests organizations with the best concept papers to submit a full application. USAID seeks applications that are based on the comparative advantage NGOs have in certain technical or geographic areas that would allow them to make effective contributions to the priority development sectors outlined in this APS.

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<sup>1</sup> An NGO is a local, nongovernmental organization based in a developing nation.

*Any inconsistency between the original printed document and a disk or electronic document shall be resolved by giving precedence to the printed document.*

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Expected Number of Awards	Numerous
Estimated Total Program Funding:	\$10,000,000
Award Ceiling:	\$500,000
Award Floor:	\$50,000
Cost Share Requirement:	None

**Eligible Applicants**

1. Applicants must be a Local Non-Governmental Organization (NGO) organized under the laws of the country in which it is domiciled.
2. To ensure that DGP awards are consistent with Congressional intent, priority will be given to NGOs that have had either limited or no prior funding from USAID. For this purpose only NGOs that have received \$5,000,000 or less in the aggregate from USAID during the past five year period will be considered eligible for the DGP. This includes any type of assistance from USAID in the aggregate including grants, contracts, subgrants, subcontracts, cooperative agreements or other funds.
3. Criteria cited in (2) above will apply not only to the principal Applicant but to any organization with which the principal Applicant may chose to enter into subaward, subgrant or partnership.

**Office of Development Partners  
Private and Voluntary Cooperation Division  
USAID/ODP/PVC**

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## ACRONYMS

ADS	Automated Directive System
APS	Annual Program Statement
CA	Cooperative Agreement
CBO	Community-based organizations
CFR	Code of Federal Regulations
CO2	Carbon Dioxide
CSO	Civil Society Organizations
CTO	Cognizant Technical Officer
CV	Curriculum Vitae
DCA	Development Credit Authority
DGP	Development Grants Program
EEO	Equal Employment Opportunity
ESCO	Energy Service Companies
FICA	Federal Insurance Contributions Act
FY	Fiscal Year
GCC	Global Climate Change
GDA	Global Development Alliance
GHG	Greenhouse Gas
IEE	Initial Environmental Evaluation
kWH	Kilowatt an hour
LOP	Life of Project
MFIs	Microfinance Institutions
MS Excel	Microsoft Excel
MSEs	Micro and small enterprises
MW	Molecular Weight
NGO	Non-Governmental Organizations
NICRA	Negotiated Indirect Cost Rate Agreement
ODP	Office of Development Partners
OFAC	Office of Foreign Assets Control
PMEP	Performance Monitoring and Evaluation Plan
PMP	Program Monitoring Plan
POU	Point-of-use
PPPs	Public-Private Partnerships
PVC	Private and Voluntary Cooperation Division
RFCP	Request for Concept Papers
TBD	To Be Determined
U.S. PVO's	Private Voluntary Organizations
UNFCCC	United Nations Framework Convention on Climate Change
UNSC	United Nations Security
USAID/W	United States Agency for International Development/Washington
USG	United States Government

## **SECTION 1. GENERAL DESCRIPTION OF FUNDING OPPORTUNITY**

Pursuant to USAID assistance policy in Automated Directive System (ADS) 303.3.5.2., this section includes (1) a general description of the proposed program, (2) a statement identifying the authorizing legislation, (3) program eligibility requirements and (4) a discussion of how the award will be administered

While the term “grant” is used in the title, Development Grants Program, and elsewhere in the APS, the assistance to be awarded through this program will be a Cooperative Agreement (CA) due to the nature of the Program which seeks to engage and collaborate with new organizations having less experience working with USAID. The DGP also offers the United States Agency for International Development (USAID) an opportunity to collaborate with new Recipients and to also provide necessary organizational and technical capacity strengthening.

Under the Office of Development Partners, Private and Voluntary Cooperation Division (ODP/PVC), USAID is establishing a small grants program for development activities that support selected USAID Missions’ strategic objectives and sector priorities.

ODP/PVC seeks to strengthen the Agency’s partnership with NGOs and assist their capacity to contribute to the accomplishment of the Agency’s goals and objectives in selected USAID presence countries. This APS encourages potential Applicants to propose innovative and effective approaches that contribute to the achievement of developmental objectives in the sectors specified for the DGP. Fiscal year (FY) 2008 funds for the DGP will include, but may not be limited to the following sectors: environment, microenterprise, water, dairy, women’s empowerment and democracy and governance civil society activities. It is essential that proposals are responsive to the Agency’s definitions for program activities in the sector or sectors being proposed. Should additional funds become available, proposals for implementation outside of the technical sector focus noted above may be considered.

### **DGP FUNDING**

USAID anticipates awarding small Cooperative Agreements totaling approximately \$10,000,000 from FY 2008 funds under the DGP through this APS to local NGOs that have had limited prior funding from USAID. Additional Cooperative Agreements under the DGP totaling approximately \$20,000,000 will be made through another, separate, APS for U.S. Private Voluntary Organizations (PVOs). In addition, \$12,500,000 in small Cooperative Agreements specifically for the health sector under the DGP will be made through the Agency’s existing New Partners’ Initiative, the Child Survival and Health Grants Program and the Malaria Communities Programs and not through this APS. All awards will be made on a competitive basis.

Grants funded under this APS will support a three-year life of project (LOP) period, from Fiscal Year 2009-2011. Cooperative Agreements will be awarded in Fiscal Year 2009. The number of awards and amount of available funding for particular sectors is subject to change.

Issuance of this APS 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 a concept paper or an application. In addition, final award of any resultant Cooperative Agreements 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. Concept papers and

applications are submitted at the risk of the applicant; should circumstances prevent award of a grant, all preparation and submission costs are at the applicant's expense.

## **A. BACKGROUND**

USAID's past investment and partnership with NGOs has produced many substantial development achievements and has resulted in organizations with strengthened capacity to achieve critical development outcomes. The DGP will build on this foundation of achievement by entering into direct development relationships with NGOs and by engaging new NGO partners that can make significant contributions to addressing today's development challenges.

NGOs work in a wide variety of sectors ranging from health to economic growth, and their expertise, experience, knowledge of local communities and innovative approaches enable them to make important contributions to achieving USAID's development objectives. The DGP is intended to expand USAID's partnership with NGOs and enhance its use of the comparative advantages of NGOs working in different sectors, thereby strengthening the NGO-USAID partnership and our joint capability to meet USAID development objectives in selected countries.

The enactment of Section 674 of the Consolidated Appropriations Act of 2008 promotes direct grant relationships between USAID, U.S. PVOs and local NGOs. This means that successful Recipients will receive DGP awards directly from USAID and not through intermediary mechanisms. Congress' vision for the Development Grants Program is for USAID to broaden the reach of its development partnerships to include organizations that have experience in international development and capabilities to meet development needs, but have had limited prior experience managing direct USAID awards. USAID seeks to identify capable NGOs that can undertake programs in specified sectors in development countries and support USAID's achievement of its development objectives.

The associated report for this legislation states in part that the Appropriations Committees intend that this program be available for small grants to small U.S. PVOs and indigenous nongovernmental organizations which may lack the capacity to compete for or implement large grants.

## **B. PROGRAM PURPOSE AND OBJECTIVES**

The purpose of the DGP is to create new partnership opportunities for NGOs that have had limited or no prior funding from USAID. A second purpose is to ensure that relatively less experienced grantees have access to technical assistance from USAID to improve their planning and management systems and the other competencies needed to successfully implement USAID-funded activities under the DGP. Increased capacity will have the added benefit of increasing organizational and programmatic sustainability.

The objectives of the DGP as presented in this Annual Program Statement are:

- (1) Broadened participation in USAID programs of NGOs with experience and expertise relevant to priority USAID and partner country development objectives;
- (2) Expanded numbers of NGOs with planning, management and service delivery systems adequate to implement USAID-funded activities under the DGP; and

- (3) Measurable contributions to the achievement of the development objectives for USAID Missions' country programs.

### **C. USAID MANAGEMENT OF THE DGP**

The DGP is coordinated by the Private and Voluntary Cooperation Division of the Office of Development Partners (ODP/PVC). Proposals submitted for the DGP will be reviewed by USAID Missions with input from technical staff and ODP/PVC. Selections will be made by USAID Missions. An Agreements Officer will make the award and be responsible for receiving financial reports and approving modifications to the agreement. The Cognizant Technical Officer (CTO) will provide USAID administrative and technical management and liaison with the Recipient. Both officers will be located in the field. All Cooperative Agreements awarded under this DGP APS will be managed by USAID Missions.

### **D. PROVISION OF ORGANIZATIONAL AND TECHNICAL CAPACITY BUILDING ASSISTANCE**

Missions will manage CAs awarded to indigenous NGOs and decide how to best provide NGOs with necessary capacity-building support to enhance their organizational and technical capacities to implement their program effectively. Some Missions have in place capacity building mechanisms for local partners which may be utilized or may procure existing local assistance for partners. In addition, Missions may access capacity-building support from ODP/PVC. Participating Missions will receive DGP program management and capacity-building funds to enable direct collaboration with DGP partners. ODP/PVC will provide initial training for new partners through an Annual Work Plan (inclusive of a Monitoring and Evaluation Plan) Workshop within the first six months of the award.

### **E. REPORTING**

DGP recipients will be required to submit an annual work plan inclusive of a monitoring and evaluation plan (M&E), brief quarterly progress to date reports and financial reports, more detailed annual reports, and a final end of project report. The DGP work plan will be aligned with the goals of the recipient's program description and contribute to the expected results. Financial reporting will be in accordance with the requirements of the final obligating document.

The Recipient will submit the above reports to the Cognizant Technical Officer (CTO). The timing, format and other instructions will be determined by the CTO and the Recipient's Key Personnel at the outset of implementation.

### **F. SUBSTANTIAL INVOLVEMENT**

USAID considers collaboration with the Recipient crucial for the successful implementation of this program. The intended purpose of USAID involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. USAID expects to be substantially involved in the cooperative agreement in the following ways:

- a. Approval of key personnel and any subsequent changes in the positions during the life of the award.

- b. Approval of the recipient's annual work plans and monitoring and evaluation plan.
- c. Agency collaboration/participation, if any, as described in ADS 303.3.11(c).

Note: In keeping with 22 CFR 226.25, the recipient is required to obtain the Agreement Officer's prior approval for the subaward, transfer or contracting out of any work under an award.

## **G. AUTHORIZED GEOGRAPHIC CODE**

The authorized geographic code for procurement of services for this action is 000. The authorized geographic code for procurement of commodities for this action is 000.

## **H. GEOGRAPHIC FOCUS AND SECTORS**

The DGP is a worldwide program with selected USAID Mission participation from Africa, Asia, Europe and Eurasia and Latin America and the Caribbean. A list of Missions participating in the DGP can be found in Appendix G as well as a link to supplemental information provided by individual Missions. Activities in all countries are subject to legal and policy restrictions that may change without prior notice. Some countries are legally restricted from receiving U.S. Government funded assistance. For information on the countries and regions in which USAID operates, please see <http://www.usaid.gov/locations/>.

Applicants are requested to respond to the USAID sector priorities presented in this APS consistent with priorities reflected in Mission strategies of the country in which the Applicant proposes to work. This will facilitate a strategic partnership between USAID and the DGP Recipients. Development sectors to be addressed by the DGP with FY 2008 funds will include, but may not be limited to: microenterprise, water, dairy, environment, women's empowerment and democracy and governance (civil society). For further information on the sectors in which USAID operates, please see [http://www.usaid.gov/our\\_work/](http://www.usaid.gov/our_work/).

### **The funding levels cited below are the total approximate DGP levels for both U.S. PVOs and local NGOs.**

It is essential that proposals reflect Agency definitions and approaches for program activities in the following sector or sectors being proposed. Within this context, innovative strategies, methods and techniques are encouraged. Applications should reflect the realities of the country or region and reflect knowledge of both opportunities and challenges.

#### **H.1 WOMEN'S EMPOWERMENT**

Estimated funding: approximately \$7,900,000

Throughout the developing world, women are vital economic, social, and political actors. Research on gender and development over several decades has established conclusively that empowering women profoundly impacts countries' socioeconomic progress. Additionally, development effectiveness has been directly linked to recognizing and addressing the gender-related issues that are holding back progress in developing countries. USAID's commitment to the full inclusion of women dates back to 1973, when the United States Congress passed the

"Percy Amendment" requiring that particular attention is paid to integrating women into national economies to improve their status and assist the overall development effort.

Women's empowerment refers to the expansion of women's ability to make independent strategic life choices where this ability was previously denied. This includes decisions related to individual and family well being, girl child and family health, nutrition, education, and individual and family economic welfare. It also extends to social and political participation in decision-making forums within and beyond the household and the community. Despite the overwhelming evidence and support of women's empowerment, women's ability to make decisions for themselves and their families continues to be severely limited. Proposals to support women's empowerment will be considered in the following areas:

#### H.1.A. Technical/Vocational Training

Whether due to real or artificial barriers, the lack of formal training and certification often represent an obstacle to girls and women seeking to enter the labor market. In many economies, women often cluster in low skilled, low wage positions with few prospects for promotion and poor working conditions.

Similarly, traditional values can restrict aspirations and opportunities for women. Effective vocational and technical training that builds skills and encourages confidence can help move women into jobs with more security, higher wages, and greater status that support their empowerment.

Among the proposals that would fall within this area are those that:

- Respond to current and projected labor needs, including self-employment, by developing marketable skills in traditional and non-traditional sectors
- Address barriers such as the perceived risk of investment in training women
- Build numeracy, literacy, computer literacy, communication, analytical, creative and employability skills
- Promote women's economic empowerment through equal opportunity programs and public awareness of vocational training for women
- Help girls and women to overcome internalized cultural barriers to participation in the labor market as equals.

#### H.1.B Entrepreneurship Development

In many parts of the world, women play a significant and even dominant entrepreneurial role in several sectors. Yet many women entrepreneurs have limited access to productive resources and business development services and face constraints on their time and mobility. The skills they demonstrate often indicate a high level of potential entrepreneurial ability and extend well beyond the limits of those needed in retail trade, artisan products and agriculture. In non-traditional areas, access to new knowledge, mastery of new skills and the raising of aspirations can play important roles. Successful entry into non-traditional businesses not only enriches the pool of entrepreneurs in the sector and nation, it also contributes to and enhances the status of women, opening new doors of opportunity.

Among proposals that would respond to this area are those that:

- Identify non-traditional business sectors for women entrepreneurs
- Innovate to expand women's entrepreneurship in traditional sectors
- Develop market-based competitive strategies
- Build the skills and attitudes required for entrepreneurial success
- Provide a range of business development services and/or services that support or replace women's household responsibilities

- Organize and facilitate access to and delivery of business inputs
- Design and deliver microenterprise and motivational training that empower women.

#### H.1.C Equal Economic Rights for Women

Cultural norms, economic institutions and legal systems affect women's access to and control over economic resources. Even where a legal framework may provide women legal property and inheritance rights, cultural and social norms may create barriers that limit women's ability to exercise those rights.

Among responsive proposals in this area might be those that:

- Engage constituencies in support of advocacy for equal economic rights for women
- Identify and address cultural barriers that limit women's ability to exercise their economic rights
- Support NGOs and other formal and informal advocacy groups
- Carry out public education programs aimed at building broad support for women's economic rights.

#### H.1.D Property Rights for Poor Women

When a woman does not own property and does not have the right to own land and other assets, or does not have the right to use land or other natural resources through leases or concessions, her lack of economic security leads to reliance on men for survival. In many areas of the world, a woman's land tenure or ability to own a business is linked to, and dependent upon the male head of household. When a woman's husband or male relative dies or she is otherwise cast out of the family, she can lose all rights to family land and other assets. Without the resource base of land and property or other assets, a woman and her family are vulnerable to exploitation as well as to hunger, illness (especially HIV/AIDS), limited access to education and other poverty-linked problems.

Among responsive proposals in this area might be those that:

- Develop strategies to improve awareness of gender-equitable land policy, law and enforcement of equitable property rights, including training of legislators, lawyers and administrators
- Advocate support for women's inheritance and related property rights and the enforcement of laws that protect women's rights
- Target micro-credit, agricultural, artisan and other extension and training that support or expand women's production from land, timber, forest products, fish, pasture, water and other natural resources based on usufruct rights
- Offer legal aid services and/or training of paralegals to assist women and children with asset-related dispute resolution as well as in legal cases to protect property rights
- Advocate support for reform of legislation governing property and usufruct rights for women, including closing the divide between customary and statutory law

Refer to Appendix A for definition, illustrative indicators and links to additional information.

## **H.2 MICROENTERPRISE**

Estimated funding: approximately \$7,000,000

In this era of globalization, generating economic growth in developing countries while reducing poverty is a fundamental development challenge. To ensure that the contribution of microenterprises to key subsectors and national economies is maximized, and to ensure that the poor are not left out of market development, micro and small enterprises (MSEs) need

access to finance, business services, and improved inputs; they also need a conducive enabling environment that facilitates rather than inhibits their participation in markets.

USAID's vision for microenterprise development involves addressing the needs of poor people within the context of globalization and dynamic domestic and global markets to help them harness the resources they need to participate meaningfully in markets.

A vicious cycle entraps many of the developing world's poor. Lacking resources, they are denied access to the finances, information and managerial skills that offer a road to a better life. Relatively small amounts of timely credit, supported by appropriate services, can not only allow microenterprises to succeed, but can also serve as a catalyst for increased employment and as a stimulus to local economies.

USAID defines microenterprises as small-scale, often informally organized business activities undertaken by poor people with 10 or fewer workers including the microentrepreneur and any unpaid family workers. USAID supports three types of activities: (1) microfinance, to improve access to financial services tailored to the needs of poor households, including credit, deposit services, insurance, and remittance and payment services; (2) efforts to reduce regulatory, policy and administrative barriers that limit the opportunities of micro- and small firms; and (3) enterprise development, to improve productivity and market potential for microenterprises.

Proposals will be considered in the following areas:

#### H.2.A Microenterprise

USAID's investments in financial services emphasize asset accumulation and protection for the poor (client level), building client-responsive and sustainable institutions (retail institution level), and helping microfinance providers exit from donor support (market level). Client-level investments deepen access to financial services for populations that are marginalized and under-served due to socio-economic status, gender, age, religion, culture or ethnicity, location, or the impact of conflict and disaster. Investments at the retail level continue to emphasize the operational and financial sustainability of financial institutions as well as their commitment to deliver products and services that meet the diverse needs of the poor. Market-level investments encourage microfinance institutions to transition to commercial (rather than donor) sources of capital and to develop productive partnerships with private-sector institutions.

Among responsive proposals in this area might be those that:

Deepen outreach to underserved market segments by:

- Increasing access to financial services among rural and remote populations. This may include, but is not limited to, credit, savings, insurance, remittances and payment services,
- Developing appropriate products for the more vulnerable segments of the population which may include some of the examples listed above,
- Forging strategic partnerships with non-financial players to provide value-added services, and
- Increasing access to financial services in conflict and post-conflict environments

#### H.2.B Value Chain Development for Microenterprises

USAID advocates an approach to enterprise development that integrates micro and small enterprises into growing value chains while improving their bargaining power,

expanding their access to business and financial services, and addressing their needs for a conducive enabling environment. The aim of this work is to enhance these firms' access to markets and their capacity to take advantage of market opportunities. Successful value chain development strengthens the competitiveness of value chains as a whole while also expanding the depth and breadth of benefits for microenterprises participating in those value chains.

Among responsive proposals in this area might be those that:

- Facilitate links between microenterprises and larger firms, enabling or strengthening microenterprise participation in the value chain
- Promote various forms of upgrading in the value chain through strategic direct technical assistance, expanded access to appropriate finance and other supporting services, and improved relationships between buyers and sellers.
- Support formal or informal linkages among microenterprises to agglomerate products for sale, add value, or increase bargaining power
- Address financing constraints that constrain microenterprise participation in value chains
- Adapt value-chain programming for conflict and post-conflict affected countries

### H.2.C Enabling Environment

The Enabling Environment remains an important area of investment for USAID recognizing that favorable business, financial policy, and investment climates are critical to successful, sustainable microenterprise development. An enabling regulatory environment is a critical driver for formalizing MFIs and integrating them into the mainstream financial sector. The legal and regulatory framework can also have a significant impact on investor confidence in the transition to private capital. USAID supports the reform of laws, regulations, and policies to facilitate the creation, operation, and growth of microenterprises and to expand access to financial and other services by the underserved poor.

Among responsive proposals in this area might be those that:

A) For financial services, enabling environment interventions can include;

- Advising central bank regulators on policies and regulations that promote competition, innovation, and financial inclusion
- Building the capacity of national networks to advocate for reform
- Strengthening the supervisory capacity of regulatory bodies.

B) For enterprise development, business environment interventions can include;

- Helping countries streamline their business registration process
- Building the MSE capacity to advocate for policy reforms through independent business associations
- Promoting anti-corruption efforts and tax reform.

For both Financial Services and Enterprise Development, proposals may include a focus on improving policies and regulations in sectors of particular importance to microenterprises and poor households.

Refer to Appendix B for definition and illustrative indicators; see [http://www.microlinks.org/ev\\_en.php](http://www.microlinks.org/ev_en.php) for additional information.

### **H.3 WATER (AFRICA ONLY)**

Estimated funding: approximately \$8,000,000

Around the world, it is estimated that at least 1.1 billion people are without a safe water supply, and 2.4 billion live without adequate sanitation services. The human cost is high. Diarrheal diseases kill 2.2 million people annually, mostly children under five. Many millions more are debilitated by the effects of water-related illnesses, preventing them from being fully productive members of society. Poor and vulnerable people are most affected. Women and girls living in poverty often bear the greatest burden of all, spending hours every day to collect water from distant sources or care for those sick from water-borne disease. Sub-Saharan Africa suffers from inadequate and unsustainable management of water resources more than most parts of the world. Over 300 million people in Africa still do not have reasonable access to safe drinking water, and even more lack adequate sanitation. Almost half the people on the African continent suffer from water-related diseases.

In the face of these problems, the global community has endorsed the U.N. Millennium Development Goals to halve, by the year 2015, the proportion of people who are unable to reach or to afford safe drinking water and sanitation.

Proposals will be accepted for activities that directly increase sustainable access to safe drinking water and sanitation and improve hygiene. This includes investments to support both infrastructure as well as those activities related to organizational/institutional capacity building and reform needed to create sustainable management, improve service delivery or promote human behavior change. Eligible activities must include objectively verifiable indicators linked to these goals.

Among responsive proposals in this area might be those that:

- Increase the number of people with access to new improved drinking water sources (urban or rural)
- Increase the number of people with access to new improved sanitation services (urban or rural)
- Improve the quality of existing drinking water supply or sanitation services
- Strengthen capacity of communities, management committees, municipalities, utilities, government agencies, non-governmental organizations, and the private sector to improve management and sustainability of drinking water supply and sanitation systems
- Strengthen policy, planning, legislative and regulatory frameworks related to drinking water supply, sanitation, or hygiene
- Develop or promote innovative, cost-effective, affordable, and appropriate technologies for drinking water supply, sanitation or hygiene
- Promote hygiene behaviors to reduce diarrheal disease, including hand washing, promotion of sanitation, and household point-of-use treatment of drinking water

Water-related activities not eligible for funding are those with a predominant focus in water resources / watershed management, conservation or protection or water management for

agriculture or industrial use (including water use efficiency and pollution prevention/management, and large-scale wastewater treatment infrastructure).

Refer to Appendix C for the specific definition of activities that are eligible for inclusion in proposals, illustrative progress indicators, and links to additional information.

#### **H.4 DAIRY**

Estimated funding: approximately \$2,000,000

Smallholder livestock is a major rural occupation in much of the developing world and, when organized for the benefit of producers, can result in increased and regular incomes for households otherwise dependent on seasonal crop income or labor. Successful smallholder dairying depends primarily on a remunerative market that encourages producer investment in improved productivity. Critical supporting services include genetic improvement, feed, veterinary care and appropriate husbandry practices. In many instances, collective action through cooperatives or producer associations, enables smallholder dairy producers to successfully produce, procure, process and market milk and milk products.

Among responsive proposals in this area might be those that:

- Educate consumers about milk and nutrition
- Support cooperatives/producer associations production, procurement, processing and or marketing of milk and milk products
- Lead to privatization of dairy-related services and input supply, particularly integrated veterinary and dairy cow breeding services
- Offer innovative smallholder producer training and extension services
- Strengthen services related to regulation of milk and dairy product quality
- Support expanded demand through product innovation and cost controls that keep product prices affordable
- Enhancement of the capacities of women to participate in dairying as primary producers, cooperative members and leaders
- Enhance the environmental contributions of dairy farms.

Refer to Appendix D for definition, illustrative indicators and links to additional information.

#### **H.5 DEMOCRACY AND GOVERNANCE: CIVIL SOCIETY CAPACITY FOR DEMOCRATIC PROCESSES**

Estimated funding: \$2,000,000

Civil Society encompasses media, civil society organizations, advocacy groups, associations and non-governmental organizations serving the needs and interests of the public through which citizens can freely organize, advocate, and communicate with their government and with each other; strengthen a democratic political culture that values citizen and civic engagement, tolerance, and respect for human rights; empower citizens to participate in decision-making on matters affecting them; and mobilize constituencies to advocate for political reform, good governance, and strengthened democratic institutions and processes.

Civil society often provides the only viable opening for restructuring power and formulating a democratic social contract. Increasing citizen participation in the policy formulation process is a key role for civil society. It includes:

- Representing the interests of citizens
- Articulating citizen interests to decision makers
- Influencing policy decisions based on represented interests
- Exercising oversight to ensure government and citizen compliance with adopted policies

Civil society organizations need institutional capacity and an understanding of appropriate procedures, as well as access to relevant information, to carry out these functions, especially in countries where government will and capacity for reform is weak. Civil society organizations often need to strengthen their institutional and financial structures to achieve their purposes. This may mean introducing democratic features to their management; strengthening administrative procedures such as strategic planning, monitoring, and evaluation systems; and complying with auditing standards. In addition, improved fundraising techniques are necessary to diversify and stabilize the financial base of the civil society sector and ensure its sustainability.

Among responsive proposals in this area might be those that:

- Engage constituencies in support of advocacy for policy change, political reform, and transparent and accountable governance
- Identify and take corrective action to address barriers that prevent civil society from exercising the right to freedom of association and advocating on behalf of their constituents
- Improve the organizational capacity and financial viability of civil society organizations
- Expand the civic education in the formal education sector to enhance a political culture of tolerance and civic participation
- Enhance the free flow of information through the training of journalists, enhancing the use of new information technologies in the media sector, improvements in the management media outlets, and increasing the independence and financial viability of the media sector.

Refer to Appendix E for definition, illustrative indicators and links to additional information.

## **H.6 ENVIRONMENT**

Estimated funding: \$3,200,000

### **Environment: Climate Change Adaptation and Clean Energy**

Economic growth is promoted through proper management of natural resources and the environment, including promotion and deployment of clean energy. Climate change and clean energy activities concentrate on reducing greenhouse gas emissions and increasing adaptive capacity to climate change in developing countries. The Agency's strategy has been to incorporate climate change considerations into development projects to provide climate related benefits while also meeting development objectives in the energy and water sectors, urban areas, forest conservation, agriculture, and disaster assistance.

Proposals will be considered in the following areas only:

#### H.6.A Climate Change Adaptation

Our climate is changing: this is evident from increases in global average air and ocean temperatures, melting of snow and ice, and rising sea levels. Developing countries are already vulnerable to climate variability, in large part due to economies and livelihoods often concentrated in climate-dependent activities such as rain-fed agriculture, fishing, forestry and tourism – climate change only exacerbates development challenges.

The ultimate goal of adaptation is to develop flexible and resilient societies and economies, capable of coping with the impacts of current climate variability and future climate change. Rising temperatures, changes in precipitation patterns, shifts in seasons, and rising seas are some of the expected manifestations of climate change. Resulting impacts on water resources, coastal zones, agricultural productivity, and the geographic ranges of diseases could affect both human and ecological systems. Consideration of changing climate conditions in planning and implementation requires access to information, application of user-friendly tools, and testing and dissemination of tools for development practitioners in the field.

USAID has developed a Climate Change Adaptation Guidance Manual ([http://www.usaid.gov/our\\_work/environment/climate/docs/reports/cc\\_vamannual.pdf](http://www.usaid.gov/our_work/environment/climate/docs/reports/cc_vamannual.pdf)) that will enable project planners to understand the potential impacts of climate change and to build resilience into development projects. The Adaptation Guidance Manual provides a step wise process for evaluation of climate change impacts applicable in the field, including a primer on climate-related risks, a framework for determining if a specific project is vulnerable, and guidance on interventions to increase project resilience.

Among responsive proposals in this area might be those that:

- Application or adoption of the Adaptation Guidance Manual to a development, humanitarian, or health project to increase the resilience of the target population and economic sector to climate variability and change
- Innovative linkage of financial tools, such as micro-credit, to finance development projects or programs that are resilient to climate variability and change
- Partnerships that bring new technology, products or practices into the development arena to increase the climate resilience of communities, climate sensitive sectors such as agriculture and water, or disadvantaged populations
- Specific approaches to increase the climate resilience of women and children in developing countries
- Innovative approaches to assessing and increasing the resilience of infrastructure, including buildings, water and transport, to climate variability and change in developing countries

#### H.6.B Clean Energy

Today, approximately 2 billion people in the developing world do not have access to electricity. As they gain access, they will increase the developing world's demand for energy, which is already expected to more than double in the next 25 years. The combustion of fossil fuels produces carbon dioxide (CO<sub>2</sub>), the leading greenhouse gas (GHG). These emissions from human activities are contributing to recent observed changes in the climate system; the international deployment of technologies that mitigate greenhouse gas emissions, reduce air pollution, and enhance energy security in a context of economic growth is a central objective of U.S. climate and development policies.

The challenge, therefore, is to promote the expanded use of clean, cost-effective technologies and practices that provide essential services and also have a reduced impact on the environment. By encouraging policies and practices that support the widespread use of energy efficiency and renewable energy technologies at the national and local levels, the dual objectives of providing access to services while helping to mitigate global climate change can be

accomplished. USAID seeks to build capacity to support technical improvements in energy and industrial efficiency, renewable energy, methane capture, and clean technologies while facilitating private sector investment, access to technologies, and policy reforms that are prerequisites to clean energy investment.

Among responsive proposals in this area might be those that:

- Assistance for energy sector reform, energy policy assistance and improvement of investment environments to provide foundation for creation of low carbon energy future
- Development of national action plans for a low carbon energy future, including analysis of energy efficiency, renewable and solar technologies; institutions, regulations, protection of intellectual property rights and patents to foster innovation; development, deployment and diffusion of low-carbon technologies; and consideration of integrated environmental strategies that achieve multiple benefits such as improved air quality and reduced health impacts
- Leverage and improve access to increasingly funding for low-carbon energy, including private and public sector resources and initiatives, in partner countries
- Assistance to improve efficiency in the production, transmission, distribution, and use of energy
- Assistance in developing and deploying large-scale, small-scale and distributed renewable energy technologies, including wind, solar, small-hydro, geothermal, and advanced biomass systems and in the more efficient use of traditional biomass fuels in households
- Innovative approaches to mitigate unforeseen negative impacts of application of solar and renewable energy technologies
- Expanding efforts to meet the energy needs of the rural poor through appropriate cost effective and low-carbon technologies

Refer to Appendix F for definition, illustrative indicators and links to additional information.

## **I. INITIAL ENVIRONMENTAL ASSESSMENT**

All projects funded by this APS must conform to USAID environmental regulations, 22 Code of Federal Regulations (CFR) 216, requiring that any environmental impacts that may arise from proposed activities (e.g., water and sanitation) are properly mitigated or reduced. Through the development of an “Initial Environmental Examination” or IEE, 22 CFR 216 ensures that any unintended environmental impacts of USAID-funded activities are identified and mitigation measures proposed at the design stage. Subsequently, over the life of the program, these environmental mitigation measures are expected to be a standard component of program management. The applicant must also comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern.

No activity funded under this Annual Program Statement can be implemented unless the requirements of 22 CFR 216 have been reached for that activity. The ODP Bureau Environmental Officer (BEO) or any Mission Environmental Officer can be contacted for further information. For a listing of USAID Environmental Officers and background information on this requirement please refer to the [USAID Environment Website \(http://www.usaid.gov/our\\_work/environment/compliance/index.html\)](http://www.usaid.gov/our_work/environment/compliance/index.html) .

Respondents to this APS should include as part of their full technical application a clear statement (no greater than 1 paragraph) of their approach, experience, and/or expertise for

achieving environmental compliance, protection and management over life of the proposed program.

## **SECTION 2. AWARD INFORMATION**

### **RANGE OF EXPECTED AMOUNTS OF INDIVIDUAL AWARDS AND ACTIVITY PERIOD**

USAID expects to award numerous individual Cooperative Agreements to NGOs to implement project activities for a three-year life-of-project period, commencing in FY09. Awards under this APS may range from \$50,000 up to a maximum of \$500,000 per award. It is anticipated that awards made in FY2009 will be completed not later than the end of 2011.

## **SECTION 3. ELIGIBILITY INFORMATION**

A. Applicants must meet the following eligibility requirements:

1. An applicant must be a Local Non-Governmental Organization (NGO) organized under the laws of the country in which it is domiciled.
2. To ensure that DGP awards are consistent with Congressional intent, priority will be given to NGOs that have had either limited or no prior funding from USAID. For this purpose only NGOs that have received a total of \$5,000,000 or less in grants, cooperative agreements or other funding from USAID in the aggregate during the past five-year-period will be considered eligible for the DGP.
3. Criteria cited in (2) above will apply not only to the principal Applicant but to any organization with which the principal Applicant may chose to enter into subaward, subgrant or funding relationship.

B. Program Eligibility and Administration of Awards

Applicants must have established financial management, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. All potential awardees will be subject to a responsibility determination issued by a warranted Agreements Officer in USAID which may include a pre-award survey and or audit.

## **SECTION 4. APPLICATION AND SUBMISSION INFORMATION**

### **TWO STEP SUBMISSION AND REVIEW PROCESS**

Applicants will participate in a two-step review process as described below. A favorable evaluation of the concept paper, as described in Step I of the review process, is not an indication that funding will be awarded. Only full applications that have been invited in writing following the Step I concept paper review will be further evaluated for funding. For all submissions in Step I (concept papers) and II (full applications), one original and two copies are to be submitted.

If an NGO decides to submit a concept paper, it must be received by the closing date, time and place indicated below.

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

All concept papers and subsequent full applications, if requested, must be submitted to the appropriate USAID Mission (Appendix H) and to the Office of Development Partners using the following methods:

### **To USAID Mission(s)**

**Hard Copy Submissions to USAID Missions: The original and two copies** shall be submitted in a sealed envelope with the name of the program (DGP) and the name, address and telephone number of the applicant.

Hard copy submissions must be in MS Word and/or Excel on letter size paper and single-spaced, using 12 point font size.

### **To the Office of Development Partners, USAID/ODP/PVC**

**Email submissions to USAID/Washington:** Applicants shall e-mail submissions to the following address: [LOCAL-DGP@usaid.gov](mailto:LOCAL-DGP@usaid.gov) with the e-mail SUBJECT line to read: "Concept Paper for Development Grants Program." Applicants submitting electronic applications are responsible for ensuring that complete applications are received by the deadline. The time of receipt for electronic submissions will be based on the automatic electronic delivery time stamp from the usaid.gov e-mail server. USAID servers may automatically reject e-mails with zip files. Applicants submitting zipped files do so at the risk that their application will not be received. Acceptable file formats are Word, Adobe Acrobat and Excel.

**Fax:** Faxed concept papers will not be accepted.

### **Deadline for Questions**

The deadline for questions pertaining to this APS is **September 10<sup>th</sup>, 2008 at 5 PM Washington DC time**. Answers, once available, will be posted to the grants.gov website and the following website [http://www.usaid.gov/our\\_work/cross-cutting\\_programs/private\\_voluntary\\_cooperation/pvc.html](http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/pvc.html)

### **Deadline for Submission**

**Concept papers received no later than 5:00 pm Eastern Standard Time on Wednesday, November 5, 2008 will be considered for review. Concept Papers submitted late or after the November 5, 2008 deadline will be reviewed prior to the expiration date of the APS (January 29, 2009).** All applications received by the deadline for the APS will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications that are incomplete run the risk of not being considered in the review process.

Concept papers will be reviewed and, if successful, full Step 2 applications will be invited in writing within 90 days of posting the APS. Organizations not invited to submit full applications will also be notified.

Concept papers must respond to the geographic focus and sector priorities of the APS, as well as the development needs of the countries as specified by the relevant USAID Mission. If you plan to submit a concept paper for more than one country in response to this APS, you must submit a five-page concept paper for each country ensuring that each submission, as

presented, meets all applicable APS criteria. Multiple country programs are not being accepted at this time unless a regional USAID Mission includes more than one country in its supplemental guidance. A list of Missions participating in the DGP with a link to Mission supplemental information is in Appendix G.

## **B. CONCEPT PAPER APPLICATION INSTRUCTIONS AND FORMAT**

All concept papers must adhere to the following, including the attachments where requested. The concept paper application should be:

- Five (5) pages in total
- Typed, single space on letter size, not legal size, paper
- Written in English
- 12 font size

The five-page total does not include the cover page, supporting information or attachments, but please be as concise as possible.

### **Cover Page:**

- Name and address of organization;
- Contact point (lead contact name; relevant telephone, fax and e-mail information);
- Title of Proposed Program; country and sector(s) being proposed;
- Make reference to the “DGP for Local NGOs”;
- Names of other organizations (federal and non-federal as well as the USAID Missions and Mission contacts and any other USAID offices) to whom you are/have submitted the application and/or are funding the proposed activity;  
and
- Signature, name and title of the authorized representative of the applicant.

Attachment: include the following information:

- Amount of USAID assistance received during the preceding five year period;
- A brief description of activities such assistance was used to support;
- Organizations that did not receive funds during the preceding five-year period must state that no funding was received during this period.

### **Technical Instructions: (5 pages)**

1. Concise title and objective/s of proposed activity;
2. Discussion of the objective/s, how objectives relate to specific challenges/opportunities in the country and sector(s); how achieving the objectives will support accomplishment of USAID’s goals associated with the sector for which the activity is proposed; the method/s of approach, highlighting any innovations to be employed, the level of effort to be employed, the anticipated results, the role of partners, if any; a brief statement as to why the proposed activity is technically and financially feasible as well as sustainable;  
and
3. Type of budget support the applicant requests from USAID (e.g., administrative support and assistance, facilities, equipment, materials, personnel resources, etc.).

### **Supporting Information:**

1. Proposed estimated cost reflecting the amount being requested from USAID and amount, if any, proposed to be contributed in cash or in kind, by Applicant;
2. Proposed private partners through Public-Private Partnerships (PPPs), if any;
3. Proposed duration of the activity; and

**Institutional Capabilities:**

1. An organizational chart of the Applicant organization
2. A brief statement of the history of the organization; its primary development focus, capabilities and challenges

**Past Performance:**

Applicants will be evaluated on past performance of the applying organization and any partner organizations. Past performance is the degree to which an Applicant completed related work successfully, satisfied its customers/sponsors under past agreements and complied with relevant laws and regulations. Include a concise description of Applicant's, as well as prospective or existing partners' previous work and experience relative to the activity being proposed.

**C. BASIS FOR EVALUATING CONCEPT PAPER**

**Technical:** Concept papers will be evaluated on the following evaluation criteria:

- Clarity and logical coherence
- Demonstrated knowledge of the country and sector(s)
- How well implementation of the proposed activity will support and enhance USAID Mission efforts in the sector(s) and strengthen country NGO contributions to the sector
- Methods that suggest technical and/or organizational innovations; and
- Feasibility of proposed results.

**Institutional Capacity:** The Applicant's institutional capabilities will be taken into account, including the organizational purpose and level of experience in carrying out development programs.

**Past Performance:** The Applicant's past performance will be assessed based on the following evaluation criteria:

- How well the Applicant performed,
- The relevancy of the Applicant's program work to the program being proposed,
- Instances of good performance,
- Instances of poor performance,
- Significant achievements,
- Significant challenges, and
- Any indications of excellent or exceptional performance.

In evaluating the Applicant's past performance, USAID may contact references other than those provided in the application. USAID may also evaluate the past performance of all consortia or joint venture members and any proposed subaward organizations, along with the Applicant's past performance.

#### **D. FULL APPLICATION INSTRUCTIONS (STEP 2)**

- Do not submit a full proposal (Tier 2) unless and until requested by USAID. Only after approval of the concept paper will USAID request the applicant to prepare a full proposal for USAID consideration, consistent with the specified criteria below.

#### **Technical Application Submission:**

Submit the full application to both the USAID Mission and USAID Washington by the date and time indicated in writing when invited to submit a full application.

The full technical application must be prepared in accordance with the format instructions in Section 5 and should clearly demonstrate the applicant's capabilities and expertise with respect to achieving the goals of the program. Applicants are expected to follow the format and instructions below.

#### **Page Limits and Format:**

Technical and cost applications shall be submitted in one volume and all materials and supporting documentation must be in English. Text must be in a recent Windows-compatible version of MS Word. Spreadsheets may be in a recent version of MS Excel or Lotus 1-2-3 or in tables that are compatible with MS Word.

The items below do not count toward the total page limit:

- Table of Contents
- Dividers
- Appendix: Curriculum Vitae (CV) for the proposed Project Director

The hard copy application submitted will be used for the official page count.

- Pages in excess of stated limitation will not be considered. However, the list of items with no page limits below is not included in either count, although it is recommended that these be concise.
- To facilitate the review of applications, narrative portions of applications should be organized in the same order as they appear below.
- The technical application will include the following sections with page limits noted in parentheses.
- Technical Application (maximum: 17 pages)
  - (1) Cover Page
  - (2) Executive Summary (1 page)
  - (3) Technical Approach (9 pages)
  - (4) Project Management Approach (3 pages)
  - (5) Planning matrix (2 pages)
  - (6) Past Performance (2 pages)

## SECTION 5. INSTRUCTIONS FOR THE FULL APPLICATION

For both the technical and the cost application, Applicants who include data that they do not want disclosed to the public for any purpose or used by the US 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 cooperative agreement 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 cooperative agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets marked:"; 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."

### A. TECHNICAL APPLICATION:

The application must address all items requested under the sections listed below.

- 1. Cover Page:** The cover page shall include the name of the principal organization applying for the award. If any partner organizations are included in the application, they should be listed separately and indicated as subordinate to the principal organization. A summary table should be included that lists the primary applicant and all partner organizations as well as the percentage of overall program activities of each partner. The cover page should also identify a point of contact, hereafter referred to as the "agent," with the authority to negotiate and sign on behalf of the applicant. The individual's name (both typed and his/her signature), title or position in the organization, email and postal addresses, telephone and fax numbers should be included.
- 2. Executive Summary (1 page):** This section shall provide a concise summary of the applicant's program description, program methodology and expected results.
- 3. Technical Approach (9 pages):** The technical approach should include discussion of the following: Problem Analysis, Objectives, Methods, Plan and Monitoring and Evaluation approach. There should be a clear logic linking the objectives to the problem analysis as well as linking the methods to the objectives. In preparing the Technical Approach, please ensure that the application reflects and addresses the evaluation criteria in Section 6.

Problem Analysis: Portray the current conditions in each program area and discuss factors likely to affect proposed program outcomes. Include the following: the proposed program area (provide a map with scale in an attachment), the process and rationale used to select these areas; a description

of the numbers and types of individuals who will benefit from the program, including gender differentiation; the specific development opportunities and challenges in the sector(s) in which you propose to work.

**Objectives:** Clear and measurable statements of end of activity objectives and an explanation of why these represent the most appropriate response to the opportunities and/or challenges presented in the analysis.

**Methods:** A description of the human, financial, technical and material resources that will be applied to achieve the objectives including the roles and responsibilities of the applicant and any partners. Specific mention should be made of any innovations in methods that will be employed and why these have been chosen. Describe strategies that will be employed to sustain the activity beyond USAID funding for this activity as well as the potential for scaling up to achieve broad-based impact where possible and appropriate.

**Plan:** This discussion should include a strategy for achieving long-term development impact through the completion of intermediate results and benchmarks. These benchmarks, standards by which an activity can be measured or judged, may be general at this time but should serve as a framework for the final specific indicators and benchmarks that will be developed subsequently. The applicant should indicate the process by which the more specific indicators will be developed.

**Monitoring and Evaluation:** A brief presentation of the approach to monitor and how monitoring results will be used to inform project management decisions as well as the ways in which impact will be evaluated at the end of the activity.

- 4. Project Management Approach (3 pages):** The management approach should be outlined in the following Implementation Work Plans:
  - a. Proposed first-year Implementation Work Plan presented in matrix format includes proposed activities describing what activities and when they will take place for the time frame indicated and identifies partners for activities where appropriate. First-year work plan, inputs, outputs, and outcomes should be realistic and achievable within proposed budget and timeframe and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities.
  - b. Proposed three-year Implementation Work Plan outlines a timeline for phasing of interventions. The proposed three-year implementation plan should contain inputs and outputs and present outcomes that are realistic and achievable within the proposed budget and timeframe and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities. Provide indicators that are clear and measurable.
- 5. Planning Matrix (2 pages):** Using a tabular format, summarize main activities, objectives, indicators and measurement methods. Link information coherently to succinctly explain how a particular set of activities will achieve a specific objective and how these results will be measured. Each table should contain the following:
  - A statement of the proposed program goal;
  - Main results-oriented objectives;
  - Primary activities that will result in achievement of each stated objective;
  - Examples of key indicators that will measure the results of each objective;

and

- The measurement and data management methods used to collect and analyze indicator data (data sources, frequency of data collection, and methods for collecting and reporting data).

**6. Past Performance (2 pages):**

- Description of Applicant's, and prospective partner's previous work and experience relative to the proposed activity;
- List of all awards involving similar or related programs, whether or not involving USAID, during the past three years;
- List of references and information such as location, award numbers if available, brief description of work performed and contact information with current email addresses and telephone numbers.

**B. COST/BUSINESS APPLICATION:**

**If a full technical proposal is requested, the applicant will also be required to submit a cost/business application.**

The cost application as an attachment should detail all direct costs associated with the implementation and completion of activities, as well as any indirect costs and program costs such as those related to any sub-agreements and/or contracts as detailed below. NGOs may request awards up to \$500,000 for a program to be completed by the third year. This amount is subject to revision depending on availability of funds. Successful applicants may be asked to scale back portions of their programs to accommodate funding constraints.

The U.S. Government will require the following detailed information from the applicant organization:

1. The cost/business application must be completely separate from the Applicant's technical application, and submitted by using SF-424 and SF-424A "Application for Federal Assistance." These forms can be found under Annex I and are downloadable online at [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)
2. The Applicant must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word) on a CD-ROM.
3. The cost/business application must be for the period of the proposed program (up to 3 years) and use the budget format shown in the SF-424A. The form is attached under Annex I and is downloadable online at [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp). If the Applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.
4. If the Applicant is a consortium, the cost/business application must include documents that reflect the legal relationship among the parties. The document/s should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement, identity of the applicant that will have accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement, and the express

agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.

5. Applicants must complete the required Representations and Certifications under Section 7 with the cost/business application.
6. The Applicant's proposed budget should provide estimates of the program based upon the total estimated costs for the Agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
7. The cost/business application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully program budgeting, financial and related program reporting procedures.
8. Applicants must provide detailed budget notes or narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:
  - a. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
  - b. The breakdown of all costs according to each partner organization involved in the program;
  - c. The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
  - d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
  - e. Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;
  - f. Procurement plan for commodities if needed (although not encouraged); and
  - g. Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement.
9. Applicants must provide the following cost element details:
  - a. Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
  - b. Fringe Benefits – These benefits are non-wage compensation that an organization can provide to its employees in addition to their salaries. If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
  - c. Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed program description, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the

localities concerned. **Applicants may not use DGP funding to travel to conferences and international meetings unless expressly approved by the USAID CTO.**

- d. Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant’s fringe benefits), equipment, office rent, etc.;
- e. Indirect Costs – These are costs that are incurred by an organization overall but that cannot be attributed directly to a specific project it is working on. The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).
- f. Alliance Opportunities: Alliance Opportunities: USAID encourages the creation of alliances where appropriate. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. Alliance partners make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Their support may take many forms. Mechanisms for collaboration include parallel financing (with common objectives, clear understanding of roles and separate funding tracks) or pooled resources (with agreed upon and legally binding governance structures and common funding tracks).

A Global Development Alliance (GDA) is a public-private partnership model that allows USAID to leverage resources from private sector partners to improve social and economic conditions in developing countries. The GDA approach enables alliance partners—corporations, foundations, and NGOs—to leverage their assets to address jointly-defined development challenges, thereby achieving together a solution that would not be possible for any single partner alone. A GDA requires:

- 1:1 leverage (cash and in-kind) of USAID resources;
- Common goal defined for all partners;
- Jointly-defined solution to a social or economic development problem;
- Non-traditional partners (companies, foundations, etc.);
- Shared resources, risks and results, with a preference for additionality of impact and;
- Innovative, sustainable approaches to development.

Additional information about Public-Private Partnerships (PPP) may be obtained from the GDA web page at [http://www.usaid.gov/our\\_work/global\\_partnerships/gda/](http://www.usaid.gov/our_work/global_partnerships/gda/) .

- A. 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 and personnel policy manuals. If a copy has already been submitted to the U.S. Government, the applicant must advise which Federal Office has a copy, and provide a point of contact with contact information (e.g., phone number). Alternatively, applicants may file a self-certificate of compliance with USAID standards. This certificate template is available from the USAID point of contact listed in this APS upon request.

- B. Applicants must submit evidence of responsibility in order for the Agreement Officer to make a determination of responsibility. The information submitted must be provided in the third-person and 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).
- C. The Applicant 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 Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub awards issued under this Agreement that results from this APS.

## C. MARKING UNDER ASSISTANCE INSTRUMENTS

### (a) Definitions

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

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

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

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

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

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

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

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

**(b) Marking of Program Deliverables**

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other

equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

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

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

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

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

**(c) Implementation of marking requirements.**

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

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

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

- (ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
  - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
- (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
  - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
  - (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
  - (iv) USAID marking requirements would impair the functionality of an item;
  - (v) USAID marking requirements would incur substantial costs or be impractical;
  - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
  - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

**(d) Waivers.**

- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
- (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

**(e) Non-retroactivity.** The requirements of this provision do 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.

## **SECTION 6 – FULL APPLICATION EVALUATION CRITERIA**

The criteria presented below have been tailored to the requirements of this Annual Program Statement. Concept papers submitted in response to this APS will be reviewed in terms of responsiveness to the APS, appropriateness of subject matter and creativeness. Full applications will be scored based on a possible maximum 100 point scale.

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

The technical applications shall be evaluated in accordance with the Technical Evaluation Criteria set forth below relative to the information provided to Applicants in Section 4 of the APS. An award will be made to a responsible Applicant whose application offers the greatest value, cost and other factors considered.

### **Evaluation Criteria (Total: 100 points)**

#### **A. Technical Approach (55 points)**

- The application will be judged on its overall approach and potential for achieving development impact, i.e., attributable, measurable and positive changes and the numbers of individuals who can be expected to benefit
- Demonstrated understanding of the technical sector/s, particularly in a country or region-specific context for which the funding is being requested; applicant must also demonstrate how the proposed activities will change policies, programs and individual behaviors related to the selected sector/s
- Use of clear, objectively measurable statements of significant outcomes (as contrasted with vague, subjectively measurable and trivial outcomes)
- Degree to which there is a clear logic linking the needs identified in the situational analysis, the objectives and strategies proposed
- Clear demonstration of the relevance of objectives to USAID Mission priorities
- The provision of references to support assertions of fact made in the proposal
- Clear implementation plan as required by the APS
- Collaboration with and inclusion and strengthening of local partners

#### **B. Project Management and Institutional Capacity (20 points)**

- Clear statement of organizational structure, mission and objectives with description of how the proposed project contributes to these
- Demonstrated institutional capacity to manage (technically, administratively and financially) a project in a technically and culturally appropriate fashion
- Demonstrated appropriate experience of key staff relative to project goals and objectives as well as language capabilities where appropriate

#### **C. Program Indicators (10 points)**

- Indicators presented in a clear, objectively measurable way.
- Clear demonstration of how progress and impact will be tracked, measured and reported with clear and appropriate milestones and expected accomplishments, with measurable output and performance indicators

**D. Past Performance (10 points)**

- Submit references of any past performance or successful institutional presence in at least one geographic region identified in this APS.
- Applicants shall be evaluated based on past performance references on relevant current programs or those completed during the past three years only. The Applicant's past performance will be assessed based on the following evaluation criteria:
  - How well the Applicant performed,
  - The relevance of the Applicant's program work to the program being proposed,
  - Instances of good performance,
  - Instances of poor performance,
  - Significant achievements,
  - Significant problems, and
  - Any indications of excellent or exceptional performance.

**E. Gender (5 points)**

- Demonstrated understanding and analysis of gender differentiation and issues as it pertains to the development activity and how the program would impact women.

**F. Cost Application**

- The Applicant's budget will be reviewed for cost reasonableness, allowability and allocability. The budget will also be reviewed for accuracy and congruity with the activities proposed in the technical application.

**G. EXTRA POINTS: Cost Share or Public-Private Alliances (GDA)**

- Up to five (5) additional points may be awarded for proposals which incorporate a cost match or the GDA model and bring a 1:1 leverage of additional resources.

## **SECTION 7. CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)**

NOTE: When these Certifications, 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**

*Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.*

(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 Cooperative Agreement 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 was 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 Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

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

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

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

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

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

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification
  - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
  - b. "Terrorist act" means-
    - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

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

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

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

**5. CERTIFICATION OF RECIPIENT**

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

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: \_\_\_\_\_

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 assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

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

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

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

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

\_\_\_\_\_

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

**NOTICE:**

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

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

**PART IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."**

*Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. nongovernmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:*

"[Recipient's name] certifies compliance as applicable with the standard provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking" included in the referenced agreement."

RFA/APS No. \_\_\_\_\_

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

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

Name of Applicant/Subgrantee \_\_\_\_\_

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

Signature \_\_\_\_\_

**PART V - 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.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

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

**3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

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

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

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

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

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

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

#### 4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: \_\_\_\_\_

#### 5. PROCUREMENT INFORMATION

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

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

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

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

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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(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, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and 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, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "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 do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	GOODS COMPONENTS	PROBABLE SOURCE	GOODS ORIGIN
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(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	INTENDED ORIGIN	USE
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(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 (Non-US Only)	PROBABLE SLUPPIER	NATIONALITY RATIONALE
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(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 past performance information requested in the APS.

## 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.

## APPENDICES

### A. WOMEN'S EMPOWERMENT

#### Definition

Women's empowerment is the expansion of women's abilities to make strategic life choices where this ability was previously denied. This includes decisions related to individual, girl child and family health, nutrition, education and family economic welfare, and extends to social and political participation in decision-making forums within and beyond the community.

The proposed intervention involves feasible and readily replicable steps to expand options for poor women through securing jobs, accessing credit and starting new businesses.

The proposed intervention would help promote women's ability to start and to grow businesses that could employ women, through continuing support (e.g., training and technical assistance) following provision of an initial micro-credit loan.

The proposed intervention includes measures and steps that contribute to enhancing women's land and property rights for their use as collateral for loans.

The proposed intervention includes measures and steps to directly increase women's skills and information on their legal workplace rights, thereby increasing their access to better employment, improved wages, benefits and working conditions.

When appropriate and possible, the proposed intervention supports trade capacity building and training for women entrepreneurs to enable them and their employees to participate in the benefits of trade agreements.

#### Indicators

##### 4.6 Private Sector Competitiveness<sup>2</sup>

##### 4.6.3 Workforce Development

- Number of new or improved (gender-specific) workforce development policies drafted through USG assistance
- Number of women gaining employment or better employment as a result of participation in USG-funded workforce development programs
- Number of women transitioning to further education and training as a result of participation in USG-funded workforce development programs
- Number of women completing USG-funded workforce development programs
- Number of women participating in USG-funded workforce development programs
- Number of (gender-specific) workforce development initiatives created through USG assisted public-private partnerships
- Number of obstacles to women's economic activities (due to legal discrimination) eliminated as a result of USG assistance

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<sup>2</sup> Original indicators reworded to reflect Women's Empowerment

- Number of proposed improvements in laws and regulations affecting property rights of the urban and rural poor drafted with USG assistance.

Links

[http://www.usaid.gov/our\\_work/cross-cutting\\_programs/wid/](http://www.usaid.gov/our_work/cross-cutting_programs/wid/)

## **B. MICROENTERPRISE**

### Definitions

**Microfinance and microenterprise development** is a cross-cutting issue. A microenterprise is a very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. Throughout the developing world, millions of poor families derive an important share of their income from microenterprise activities.

To help these poor families gain access to economic opportunity, USAID supports three types of activities: (1) microfinance, to improve access to financial services tailored to the needs of poor households, including credit, deposit services, insurance, and remittance and payment services; (2) efforts to reduce regulatory, policy and administrative barriers that limit the opportunities of micro- and small firms; and (3) enterprise development, to improve productivity and market potential for microenterprises.

Activities exclusively devoted to microfinance and microenterprise development are reported under three Program Elements under Economic Growth Program Area 4.7 (Economic Opportunity), each linked to one of the three types of activities described above: 4.7.1, Inclusive Financial Markets; 4.7.2, Policy Environment for Micro and Small Enterprises; and 4.7.3, Strengthen Microenterprise Productivity. However, activities in any foreign assistance objective can also contribute to microfinance or microenterprise development, to the extent that they promote one or more of the outcomes summarized here.

USAID's integrated approach to microfinance and microenterprise development supports inclusive financial markets, policy reform, and enterprise development, including producers, their organizations, and agriculture related microenterprises, to help households build assets, grow their businesses, improve household security, and participate in the economy on better terms, thus promoting economic growth with poverty reduction.

### Indicators

#### 4.7 Economic Opportunity

##### 4.7.1 Inclusive Financial Markets

- Number of clients at USG-assisted microfinance institutions
- Number of microfinance institutions supported by USG financial or technical assistance
- Percent of portfolio outstanding of USG assisted microfinance institutions held as poverty loans
- Percent of USG-assisted microfinance institutions that have reached financial sustainability
- Percent of USG-assisted microfinance institutions that have reached operational sustainability
- Total savings deposits held by USG-assisted microfinance institutions

##### 4.7.2 Policy Environment for Micro and Small Enterprises

- Number of proposed improvements in laws and regulations affecting the operations of micro enterprises drafted with USG assistance

4.7.3 Microenterprise Productivity

- Number of microenterprises participating in USG assisted value chains
- Number of microenterprises receiving business development services from USG assisted sources
- Total number of microenterprises receiving finance from participating firms in a USG assisted value chain
- Amount of private financing mobilized with a DCA guarantee

Links

[http://www.microlinks.org/ev\\_en.php](http://www.microlinks.org/ev_en.php)

## C. WATER

### Definition

The FY 2008 Omnibus Appropriations Act language states that earmarked funds “*shall be made available for safe drinking water and sanitation supply projects, including water management related to safe drinking water and sanitation, only to implement the Senator Paul Simon Water for the Poor Act of 2005 (Public Law 109-121).*”

The purpose of this earmark is to increase sustainable access to safe drinking water and sanitation and improve hygiene. Eligible activities must have a stated intent to address these goals as a primary or secondary objective, and demonstrate that intent through objectively verifiable indicators linked to these goals. For example, an activity may provide water and sanitation facilities at elementary schools, with the primary objective of ensuring attendance and the secondary objective of extending access to water and sanitation.

This earmark fits within the broader context of U.S. international water sector programming which includes a wide range of activities beyond the focus area of water supply, sanitation and hygiene. Water is a cross-cutting issue in the U.S. Foreign Assistance Framework with activities under all five program objectives. These overall program objectives are Peace and Security; Governing Justly & Democratically; Investing in People; Economic Growth; and Humanitarian Assistance. The overall U.S. government water portfolio embraces a broad spectrum of water sector interventions that are critical to protecting human health and responding to humanitarian crises; promoting broad-based and sustainable economic growth; enhancing environmental and national security; and developing public participatory processes that improve transparency and accountability in providing a resource essential to people’s lives and livelihoods. These activities are components of a comprehensive strategy to address the world’s water challenges in an integrated and sustainable way.

This earmark is focused on a specifically defined subset of interventions linked to water supply, sanitation and hygiene within this broader context. The following guidance is provided on application of the water earmark by Missions and Operating Units. Information on how eligible activities relate to the Foreign Assistance framework and funding accounts is also presented.

Activities eligible for allocation or attribution to this earmark must meet all of the following conditions:

- An activity must state as a primary or secondary objective increased access to drinking water supply or sanitation services, better quality of those services, and/or hygiene promotion. The objective may correspond to either direct or indirect support as defined in Categories I-IV below, but it must make explicit the linkage to drinking water supply, sanitation or hygiene outcomes.
- Activities must identify objectively verifiable indicators and targets that track progress towards the identified drinking water supply, sanitation, and/or hygiene objective. To the extent possible, the use of common indicators from the Foreign Assistance and Coordination Tracking System (FACTS) is encouraged. Common indicators for two of the most common categories of water and sanitation programs are included below. Internet links are shown below for other types of assistance which also incorporate water and sanitation. For those interventions that do not lend themselves to the standardized FACTS indicators, activity managers may also develop customized indicators to track progress.

- In programs that include both earmark eligible and non-eligible activities, funding may be attributed to the earmark only in proportion to the activity's support of the earmark definitions provided here..

Earmark funds may be used for activities that have primary and direct goals of increasing access to improved drinking water supply and sanitation services; enhancing the quality of those services; and/or improving hygiene conditions. Funds targeted to interventions in this category are 100% attributable to the earmark.

A proportion of earmark funds may be used to support management of water and associated natural resources, and/or water management related to productive water uses only to the extent that these programs support the primary activities related to access to drinking water supply or sanitation services, and/or hygiene promotion. For example, if an activity meant to reduce erosion and improve stream water quality by reforesting a watershed will lead to cleaner raw water being available for an existing urban water system drawing its water from the stream being improved, a proportion of the reforestation activity might be attributable. Specific objectives related to water supply, sanitation and hygiene must be identified for these activities, and objectively verifiable indicators identified to monitor progress against those objectives.

#### Indicators

##### 3.1.8 Water Supply and Sanitation

- Number of people in target areas with access to improved drinking water supply as a result of USG assistance.
- Number of people in target areas with access to improved sanitation facilities as a result of USG assistance.

##### 3.1.6.7 Maternal and Child Health

- Liters of drinking water disinfected with USG-supported point-of-use treatment products

#### Links

[http://www.usaid.gov/our\\_work/global\\_health/eh/index.html](http://www.usaid.gov/our_work/global_health/eh/index.html)

[http://www.usaid.gov/our\\_work/global\\_health/eh/techareas/improvement.html](http://www.usaid.gov/our_work/global_health/eh/techareas/improvement.html)

[http://www.usaid.gov/our\\_work/global\\_health/eh/techareas/targets.html](http://www.usaid.gov/our_work/global_health/eh/techareas/targets.html)

[http://www.usaid.gov/our\\_work/global\\_health/eh/techareas/pou.html](http://www.usaid.gov/our_work/global_health/eh/techareas/pou.html)

[http://www.usaid.gov/our\\_work/global\\_health/eh/techareas/sanitation.html](http://www.usaid.gov/our_work/global_health/eh/techareas/sanitation.html)

[http://www.usaid.gov/our\\_work/global\\_health/eh/techareas/reconstruction.html](http://www.usaid.gov/our_work/global_health/eh/techareas/reconstruction.html)

## D. DAIRY

### Definition

Dairy cuts across functional objectives and includes activities that assist small dairy producers, processors and service providers to maximize their abilities to increase milk yields; produce higher quality and value-added dairy products; educate consumers; and increase cash incomes to small farmers, especially women who are the primary caretakers of dairy animals; macro-dairy development (production, processing, marketing); and cooperative or producer association building.

### Indicators

- 4.5 Agriculture
  - 4.6.2 Agricultural Sector Productivity
    - Number of new technologies or management practices under research as a result of USG assistance
    - Number of new technologies or management practices under field testing as a result of USG assistance
    - Number of new technologies or management practices made available for transfer as a result of USG assistance.
    - Number of additional hectares under improved technologies or management practices as a result of USG assistance
    - Number of additional surveillance and/or control systems in place for agricultural threats (biological or environmental) as a result of USG assistance
    - Number of vulnerable households benefiting directly from USG interventions
    - Number of producer organizations, water users associations, trade and business associations and community-based organizations (CBOs) receiving USG assistance
    - Number of agriculture-related firms benefiting directly from USG-supported interventions
    - Number of public-private partnerships formed as a result of USG assistance
    - Number of individuals who have received USG supported short-term agricultural sector productivity training
    - Number of individuals who have received USG supported long term agricultural sector productivity training
    - Percent change in value of intra-regional exports of targeted agricultural commodities as a result of USG assistance
    - Percent change in value of international exports of targeted agricultural commodities as a result of USG assistance
    - Amount of private financing mobilized with a DCA guarantee
    - Percent change in value of purchases from smallholders or targeted commodities as a result of USG assistance
    - Number of women's organizations/associations assisted as a result of USG supported interventions
    - Number of farmers, processors and others who have adopted new technologies or management practices as a result of USG assistance

Links

[http://www.usaid.gov/our\\_work/agriculture/livestock.htm](http://www.usaid.gov/our_work/agriculture/livestock.htm)

## **E. DEMOCRACY AND GOVERNANCE**

### **Civil Society Capacity for Democratic Processes**

#### Definition

Strengthen the capacity of Civil Society Organizations for policy analysis, advocacy, coalition-building, internal governance, membership representation and services, and engage in other activities aimed at fostering more peaceful and democratic societies. CSOs include, but are not limited to, human rights organizations, women's groups, labor unions, business and professional associations, youth movements, religious organizations, indigenous organizations, think tanks, and organizations representing vulnerable populations. Areas of capacity building may include, but are not limited to, technical expertise (e.g. human rights, legal reform); CSO self-regulation (e.g. establishing NGO Codes of Conduct); organizational capacity (e.g. strategic planning, financial management and accountability, public relations, issue management, and outreach, revenue generation, accountable fundraising); and targeted advocacy training and technical assistance.

#### Indicators

##### 2.4.1 Civic Participation

- Number of Civil Society Organizations using USG assistance to improve internal organizational capacity
- Number of Civil Society Organizations using USG assistance to promote political participation
- Number of CSO advocacy campaigns supported by USG
- Number of independent and democratic trade/labor unions supported by USG to promote international core labor standards
- Number of participants in USG-funded programs supporting participation and inclusion of traditionally marginalized ethnic minority and/or religious minority groups
- Number of people who have completed USG assisted civic education programs
- Number of policies that have been influenced by CSOs
- Number of positive modifications to enabling legislation/ regulation for civil society accomplished with USG assistance
- Number of USG assisted Civil Society Organizations that engage in advocacy and watchdog functions

#### Links

<http://www.state.gov/documents/organization/101763.pdf>

## F. ENVIRONMENT

The 2008 Foreign Appropriations Act contains the following language:

Bill sec. 664(b) page 176: Of the funds appropriated by this Act, not less than \$195 million shall be made available to support clean energy and other climate change programs in developing countries, of which not less than \$125 million should be made available to directly promote and deploy energy conservation, energy efficiency, and renewable and clean energy technologies with an emphasis on small hydro, solar and wind energy, and of which the balance should be made available to directly: (1) reduce greenhouse gas emissions; (2) increase carbon sequestration activities; and (3) support climate change mitigation and adaptation programs.

The overarching climate change criteria are:

1. The program or activity explicitly seeks climate change–related outcomes, such as reduced greenhouse gas emissions, increased carbon sequestration, and support for mitigation and adaptation programs, ideally in the form of a GCC objective.
2. The program or activity is monitoring its impact on addressing climate change using one or more GCC indicators, ideally USAID's common GCC Indicators (below). Programs should estimate emissions reduced or sequestered if applicable.
3. Activities that “support adaptation programs” should have conducted a climate vulnerability and adaptation analysis and be addressing needs identified through that analysis. [USAID's Adaptation Guidance Manual](#) provides information on what is involved in this analysis.

Link:

[http://www.usaid.gov/our\\_work/environment/climate/index.html](http://www.usaid.gov/our_work/environment/climate/index.html)

### **Clean Energy Definition:**

This Key Issue cuts across all Functional Objectives and meets a Congressional Earmark. It deals with activities that directly promote and deploy energy conservation, energy efficiency, and renewable and clean energy technologies. Activities may include policy, legal, regulatory, and commercial reforms that are prerequisites to clean energy investment; improving the operational and commercial performance of public and private sector institutions, including utilities; piloting innovative business models, financing approaches, and public-private partnerships with businesses, entrepreneurs, and NGOs to support clean energy applications; and reducing the environmental impact of energy production and use.

Link:

[http://www.usaid.gov/our\\_work/economic\\_growth\\_and\\_trade/energy/index.html](http://www.usaid.gov/our_work/economic_growth_and_trade/energy/index.html)

### **Indicators**

A set of common climate change and clean energy indicators has been approved by the USAID Administrator for use in target setting and reporting program results. The indicators were designed to capture aspects of climate change and clean energy which will have enduring value. The climate change and clean energy indicators are below.

Indicators

#### 4.4.1-Modern Energy Services

- Number of people with increased access to modern energy services as a result of USG assistance

- Capacity constructed or rehabilitated as a result of USG assistance
- Energy saved as a result of USG assistance
- Quantity of greenhouse gas emissions, measured in metric tons CO<sub>2</sub> equivalent, reduced or sequestered as a result of USG assistance in energy, industry, urban, and/or transport sectors

#### 4.8.1-Natural Resources and Biodiversity

- Quantity of greenhouse gas emissions, measured in metric tons of CO<sub>2</sub> equivalent, reduced or sequestered as a result of USG assistance in natural resources management, agriculture, and/or biodiversity sectors

#### 4.8.2- Clean Productive Environment

- Quantity of greenhouse gas emissions, measured in metric tons CO<sub>2</sub> equivalent, reduced or sequestered as a result of USG assistance
- Dollars saved from prevention, mitigation or reduction of pollution, including greenhouse gasses, as a result of USG assistance
- Number of technologies and methodologies developed or tested for broad dissemination
- Number of laws, policies, agreements or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance
- Number of people with increased adaptive capacity to cope with impacts of climate variability and change as a result of USG assistance
- Number of people receiving USG supported training in global climate change including Framework Convention on Climate Change, greenhouse gas inventories, mitigation, and adaptation analysis

## G. USAID PARTICIPATING MISSIONS

The following USAID Missions are participating in the DGP in the sectors listed in parenthesis. Please see the following PVC website for those Mission that have provided Supplemental Information about specific Mission priorities - [http://www.usaid.gov/our\\_work/cross-cutting\\_programs/private\\_voluntary\\_cooperation/dgp.html](http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/dgp.html)

### Africa

- Angola (Water, Women's Empowerment, Microenterprise)
- Democratic Republic of the Congo (Women's Empowerment, Microenterprise)
- Ethiopia (Water, Dairy, Women's Empowerment)
- Madagascar (Environment, Microenterprise)
- Malawi (Dairy, Women's Empowerment, Microenterprise)
- Mozambique (Water)
- Nigeria (Microenterprise)
- Rwanda (Dairy, Women's Empowerment)
- Senegal (Water, Women's Empowerment, Democracy and Governance)
- Sierra Leone (Microenterprise)
- Tanzania (Women's Empowerment)
- Uganda (Water)
- West Africa Regional (Environment)
- Zambia (Water, Women's Empowerment, Microenterprise)
- Zimbabwe (Democracy and Governance)

### Asia

- India (Environment)
- Kazakhstan (Democracy and Governance)
- Timor Leste (Dairy, Microenterprise)

### Europe and Eurasia

- Azerbaijan (Dairy)
- Georgia (Environment, Women's Empowerment, Microenterprise)
- Macedonia (Democracy and Governance)
- Moldova (Women's Empowerment)
- Russia (Women's Empowerment)

### Latin America and the Caribbean

- Dominican Republic (Environment)
- Ecuador (Women's Empowerment)
- Haiti (Environment, Women's Empowerment, Microenterprise, Democracy and Governance)
- Peru (Environment)

**\* Note: this list of eligible countries is subject to change without prior notice.**

**H. USAID MISSION CONTACT INFORMATION**

**(Listed Alphabetically By Country)**

Applicants are advised to verify mailing addresses and contact person directly with the Missions. Applicants are also strongly encouraged to verify that submissions have been received by the proposed Mission (s).

<b>Mission</b>	<b>Mailing Address</b>	<b>Contact Name &amp; Email Address</b>
Angola	USAID/Angola Rua Houari Boumedienne, #32 Miramar – Luanda, Angola	Susan Brems <a href="mailto:sbrems@usaid.gov">sbrems@usaid.gov</a>
Azerbaijan	USAID/Caucasus-Azerbaijan 83 Azadliq Avenue AZ1007 Baku, Azerbaijan	Tamika Cameron <a href="mailto:tcameron@usaid.gov">tcameron@usaid.gov</a>
Democratic Republic of the Congo	USAID/RD Congo 198 Isiro Avenue Kinshasa / Gombe Democratic Republic of the Congo	Jeff Bryan <a href="mailto:jbryan@usaid.gov">jbryan@usaid.gov</a>
Dominican Republic	U.S. Agency for International Development Calle Leopoldo Navarro #12, Gazcue Santo Domingo Dominican Republic	Jeffery Cohen <a href="mailto:jcohen@usaid.gov">jcohen@usaid.gov</a>
Ecuador	<i>Until Sep 11, 2008</i> USAID Ave. Colombia 1573 y Queseras del Medio, Quito, Ecuador  <i>After Sep 11, 2008</i> Embajada Americana USAID Avigiras E12-170 y Eloy Alfaro  <i>APO Address</i> USAID Unit #5330 APO, AA 34039	Daniel Sanchez-Bustamante <a href="mailto:dsanchez-bustamante@usaid.gov">dsanchez-bustamante@usaid.gov</a>
Ethiopia	USAID/Ethiopia Riverside Building P.O. Box 1014 Addis Ababa Ethiopia	Kevin Smith <a href="mailto:kevsmith@usaid.gov">kevsmith@usaid.gov</a>
Georgia	USAID/Caucasus Mission 11 George Balanchine Street 0131 Tbilisi, Georgia	Craig Hart <a href="mailto:crhart@usaid.gov">crhart@usaid.gov</a>

Haiti	USAID/Haiti Boulevard 15 Octobre Tabarre 41 Tabarre, HAITI	Alex Deprez <a href="mailto:adeprez@usaid.gov">adeprez@usaid.gov</a>
India	USAID/India American Embassy Chanakypuri New Delhi, India 110 021	Gulshan Bhatla <a href="mailto:gbhatla@usaid.gov">gbhatla@usaid.gov</a>
Kazakhstan	USAID/CAR Park Palace Building 41 Kazibek Bi, Street 050100 Almaty Kazakhstan	John Griffin <a href="mailto:jgriffin@usaid.gov">jgriffin@usaid.gov</a>
Macedonia	USAID/Macedonia Jurij Gagarin 15/III 1000 Skopje Macedonia	Tim Donnay <a href="mailto:tdonnay@usaid.gov">tdonnay@usaid.gov</a>
Madagascar	USAID/Madagascar Tour Zital, 6th Floor ZI Taloumis Ankorondrano B.P. 5253 Antananarivo Madagascar	Doreen Robinson <a href="mailto:drobinson@usaid.gov">drobinson@usaid.gov</a>
Malawi	USAID/Malawi NICO House P.O. Box 30455 Lilongwe 3 Malawi	Patrick Wesner <a href="mailto:pwesner@usaid.gov">pwesner@usaid.gov</a>
Moldova	USAID/Moldova 57/1, Banulescu-Bodoni Street ASITO Building, 5th Floor Chisinau, Moldova 2005	Susan Kutor <a href="mailto:skutor@usaid.gov">skutor@usaid.gov</a>
Mozambique	USAID/Moçambique JAT Complex Rua 1231, No. 41 Bairro Central "C" Maputo Moçambique	Nancy Fisher-Gormley <a href="mailto:gormley@usaid.gov">gormley@usaid.gov</a>
Nigeria	USAID/Nigeria Metro Plaza, 3rd Floor Zakaria Maimalari Street	Anne Fleuret <a href="mailto:afleuret@usaid.gov">afleuret@usaid.gov</a>

	P.M.B. 519 Garki Abuja Nigeria	
Peru	USAID/Peru Av. La Encalada, cda. 17 Monterrico-Surco Lima 33, Peru	Steve Olive <a href="mailto:solive@usaid.gov">solive@usaid.gov</a>
Russia	USAID/Russia American Embassy/Moscow Novinsky Boulevard 19/23 121099, Moscow, Russia	Theresa Tuano <a href="mailto:ttuano@usaid.gov">ttuano@usaid.gov</a>
Rwanda	USAID/Rwanda 55 Avenue Paul VI B.P. 2848 Kigali Rwanda	Victoria Gellis <a href="mailto:vgellis@usaid.gov">vgellis@usaid.gov</a>
Senegal	USAID/Sénégal Petit Ngor B.P. 49 Dakar Sénégal	Tom Kress <a href="mailto:tkress@usaid.gov">tkress@usaid.gov</a>
Sierra Leone	USAID/Sierra Leone c/o USAID/Guinée Quartier Cameroun Corniche Nord US Embassy B.P. 603 Conakry Guinée	Abdulai Jalloh <a href="mailto:Ajalloh@usaid.gov">Ajalloh@usaid.gov</a>  Christine Sheckler <a href="mailto:Csheckler@usaid.gov">Csheckler@usaid.gov</a>
Tanzania	USAID/TANZANIA 686 Old Bagamoyo Road Dar es Salaam, Tanzania	Thomas Crubaugh <a href="mailto:tcrubaugh@usaid.gov">tcrubaugh@usaid.gov</a>
Timor Leste	U.S. Agency for International Development USAID/Timor Leste Dr. Sergio Vieira de Mello Road Lighthouse Area, Farol Dili, Timor Leste  Mailing from the U.S.  USAID Timor Leste	Peter Cloutier <a href="mailto:pcloutier@usaid.gov">pcloutier@usaid.gov</a>

DGP - Local NGO - Annual Program Statement No. M/OAA/GRO/ALPS-09-001

	8250 Dili Place Washington, DC 20521-8250	
Uganda	USAID/Uganda U.S. Mission Compound - South Wing Plot 1577 Ggaba Road P.O. Box 7856 Kampala, Uganda	Nancy J. Eslick <a href="mailto:neslick@usaid.gov">neslick@usaid.gov</a>
West Africa	USAID/West Africa E. 45/3 Independence Avenue P.O. Box 1630 Accra Ghana	Kevin Sharp <a href="mailto:ksharp@usaid.gov">ksharp@usaid.gov</a>
Zambia	USAID/Zambia P.O. Box 32481 351 Independence Avenue Lusaka, Zambia	Michael McCord <a href="mailto:mmccord@usaid.gov">mmccord@usaid.gov</a>
Zimbabwe	USAID/Zimbabwe P.O. Box 6988 1 Pascoe Avenue Belgravia Harare, Zimbabwe	Kevin Sturr <a href="mailto:ksturr@usaid.gov">ksturr@usaid.gov</a>  Amy Tohill-stull <a href="mailto:atohill-stull@usaid.gov">atohill-stull@usaid.gov</a>

**I. SF-424 FORMS**

**SF424 Forms**

SF-424, Application for Federal Assistance  
SF-424A, Budget Information, Non-construction Programs  
SF-424B, Assurances, Non-construction Programs

SF 424 Forms

Standard Form 424

OMB Approval No.  
0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION:		2. DATE SUBMITTED	Applicant Identifier NA
Application ____ Construction		3. DATE RECEIVED BY STATE NA	State Application Identifier NA
Reapplication NA ____ Construction			
__X__ Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier NA
____ Non-Construction			
5. APPLICATION INFORMATION			
<b>Legal Name:</b>		<i>Organizational Unit</i>	
Address (give only county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		7. TYPE OF APPLICATION: (enter appropriate letter in box)	
8. TYPE OF APPLICATION  __X__ New ____ Continuation ____ Revision If Revision, enter appropriate letter(s) in box(es) A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify): C. Increase Duration		<input type="checkbox"/> M H. Independent School Dist I. State Controlled Institution of Higher Learning J. Indian Tribe K. Individual L. Profit Organization M. Other (specify)	
		B. County C. Municipal D. Township E. Interstate F. Inter-municipal G. Special Dist.	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: NA		9. NAME OF FEDERAL AGENCY USAID/GH/HIDN	
TITLE:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
12. AREAS AFFECTED (Cities, Counties, States, etc.):			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
START DATE	END DATE	a. Applicant NA	b. Project NA
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$		

DGP - Local NGO - Annual Program Statement No. M/OAA/GRO/ALPS-09-001

b Applicant	\$	<p>a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:</p> <p>DATE</p> <p>b. NO. _____ PROGRAM IS NOT COVERED BY E.O. 12372 _____ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW</p>
c. State	\$ NA	
d. Local	\$ NA	
e. Other	\$	
f. Program Income	\$	
g. TOTAL	\$	
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.		
a. Type Name of Authorized Representative		b. Title
d. Signature of Authorized Representative		c. Telephone Number
		e. Date Signed

Standard Form 424 (REV 4-92); Prescribed By OMB Circular A-102

**INSTRUCTIONS FOR THE SF 424**

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

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

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

- | Item: | Entry:  |   |
|-------|---|---|
| 1.    | Self-explanatory.   | 7. Enter the appropriate letter in the space provided.  |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).   | 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>- "New" means a new assistance award.<br>- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |
| 3.    | State use only (if applicable).   |   |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.   |   |
| 5.    | Legal name of applicant, name of primary organizational unit, which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application. | 9. Name of Federal agency from which assistance is being requested with this application.   |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   | 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.   |

Item:

Entry:

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities).

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter government review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**SF 424 Back (Rev. 4-92)**

**Budget Information - Non-Construction Programs**

<b>SECTION A - BUDGET SUMMARY</b>						
Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1. Headquarters	\$ NA	\$ NA	\$ NA	\$	\$	\$
2. Field	NA	NA	NA			
3. NA	NA	NA	NA	NA	NA	NA
4. NA	NA	NA	NA	NA	NA	NA
5. TOTALS	\$ NA	\$ NA	\$ NA	\$	\$	\$
<b>SECTION B – BUDGET CATEGORIES</b>						
6. Object Class Categories		USAID PROGRAM		RECIPIENT FUNDS		Total {5}
		(1) Federal	(2) Non-Federal	{3}	{4}	
a. Personnel (1)		\$	\$	\$ NA	\$ NA	\$
b. Fringe Benefits (1)				NA	NA	
c. Travel (1)				NA	NA	
d. Equipment (3)				NA	NA	
e. Supplies (3)				NA	NA	
f. Contractual (3)				NA	NA	
g. Construction N/A				NA	NA	
h. Other (1), (2) (see notes)				NA	NA	
i. Total Direct Charges (sum of 6a-6h)				NA	NA	
j. Indirect Charges (4)				NA	NA	
k. TOTALS (sum of 6i and 6j)		\$	\$	\$	\$	\$
7. Program Income		\$	\$	\$	\$	\$

**STANDARD FORM 424A (cont'd)**

<b>SECTION C - NON-FEDERAL RESOURCES</b>					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. Headquarters	\$	\$ NA	\$	\$	
9. Field		NA			
10. NA	NA	NA	NA		
11. NA	NA	NA	NA		
12. TOTAL (sum of lines 8-11)	\$	\$ NA	\$	\$	
<b>SECTION D - FORECASTED CASH NEEDS</b>					
13. Federal	Total for 1st Year	1st Quarter	2 <sup>nd</sup> Quarter	3rd Quarter	4th quarter
	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					
<b>SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT</b>					
(a) Grant Program	Future Funding Periods				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. Headquarters	\$	\$	\$	\$	
17. Field					
18. NA	NA	NA	NA	NA	
19. NA	NA	NA	NA	NA	
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	
<b>SECTION F - OTHER BUDGET INFORMATION</b>					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

Standard Form 424A (cont'd.)  
*INSTRUCTIONS FOR THE SF 424A*

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

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

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### General Instructions

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

#### **Section A. Budget Summary Lines 1-4 Columns (a) and (b)**

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance

Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

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

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

#### **Lines 1-4, Columns (c) through (g)**

*For new applications*, leave Columns (c) and (d) blank. For each line Entry in Columns (a) and

(b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

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

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

**Line 5** - Show the totals for all columns used.

**Standard Form 424A (cont'd.)**

**INSTRUCTIONS FOR THE SF 424A (continued)**

**Section B. Budget Categories**

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

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

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

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

**Section C. Non-Federal Resources**

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

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

**Column (b)** - Enter the contribution to be made by the applicant.

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

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

**Column (e)** - Enter totals of Columns (b), (c), and (d).

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

**Section D. Forecasted Cash Needs**

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

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

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

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

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications

and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

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

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

**Section F. Other Budget Information**

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

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

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

**The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):**

a. **Personnel**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. **Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. **Travel**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per-diems are based on established policies.

d. **Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs/NGOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. **Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs/NGOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grants, which should be included in other.

g. **Construction**

N/A

h. **Other**

PVOs/NGOs are to identify all costs associated with training of project personnel.

PVOs/NGOs planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The PVO/NGO should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all sub-grants.

i. **Indirect Charges**

Include a copy of the PVO's/NGO's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate.

USAID Form 424A, Section C should reflect the PVO's/NGO's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies must be documented.

**A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424.**

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B–Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative. Do **NOT** use the four **Cost Elements of the Cooperative Agreement Budget shown below.**

**SAMPLE COOPERATIVE AGREEMENT BUDGET**

SF 424, Sec.B, Item 6

<u>Budget Cost Element</u>	<u>Object Class Category</u>	<u>Budget Amount</u>
Program	Line a, b, c, and h	\$ _____
Training	Line h	\$ _____
Procurement	Line d, e and f	\$ _____
Indirect Costs	Line j	\$ _____
Program's Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient's Cost Share		\$ _____
Total Program Funding		\$ _____