



# USAID | RUSSIA

FROM THE AMERICAN PEOPLE

Issuance Date: 14 March 2011  
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Closing Time: 1700 hours Moscow Time

Subject: Request for Applications RFA-118-11-000004  
“Promoting New Media and Media Convergence in Russia”

The United States Government, as represented by the United States Agency for International Development (USAID) Mission in Russia, is seeking applications (proposals for assistance funding) from U.S. non-governmental and non-U.S. non-governmental organizations for implementation of the “Promoting New Media and Media Convergence in Russia.” The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The three-year program is designed to spur the development of alternative media as a way to disseminate socially valuable information, strengthen the capacity of independent media outlets, and encourage collaboration between Russian media professionals and their peers in the international community. The total funding level for the program, including non-USG resources, is estimated at \$4 million for the three-year period, subject to the availability of funding.

USAID/Russia reserves the right to reduce, revise, or increase the application budget in accordance with the needs of the program and the availability of funds. Award made will be subject to periodic reporting and evaluation requirements and substantial involvement by USAID/Russia. Final authority for assistance awards resides with the USAID/Russia Mission Agreement Officer.

While any type of organization is eligible for the award, it is USAID policy not to award profit under assistance instruments (grants and cooperative agreements). However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards may be paid under assistance instruments.

Prospective applicants are advised that the applicant funded under this RFA will be required to comply with Russian laws and regulations. This includes changes to the registration and reporting obligations for Russian NGOs working in Russia (see Russian Federal Law # 18-FZ, “On Introducing Amendments to Certain Legislative Acts of the Russian Federation” dated January 10, 2006). A copy of this law can be found in Federal Registration Service Web site (at <http://www.rosregistr.ru>) and in Russian Legal databases).

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

- Section I – Funding Opportunity Description
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Annex A: Certifications, Assurances and Other Statements of the Recipient

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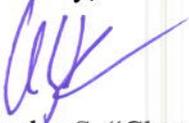
The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov on the World Wide Web (www) to allow for electronic submission of applications. This RFA and any future amendments can be downloaded from this website: [www.grants.gov](http://www.grants.gov). It is the responsibility of the recipient of the application document to ensure that it has been received from [www.grants.gov](http://www.grants.gov) in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

If your organization decides to submit an application, it should be received at USAID/Russia by the closing date and time specified by this RFA. To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this Grants.gov opportunity. Applicants must submit the full application package by one of the methods indicated in Section IV of this RFA.

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

Any questions or comments concerning this RFA should be submitted in writing to [Russia-Applications@usaid.gov](mailto:Russia-Applications@usaid.gov), no later than 1700 hours local Moscow Time, March 23, 2011.

Sincerely,



Charles S. "Chuck" Pope  
Agreement Officer  
USAID/Russia

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

## **SECTION I - FUNDING OPPORTUNITY DESCRIPTION**

### **A. Title**

The United States Agency for International Development (USAID) is seeking applications for a grant to implement a project entitled "Promoting New Media and Media Convergence in Russia".

### **B. Authorizing Legislation**

The authority for the Request for Applications (RFA) is found in the Foreign Assistance Act of 1961, as amended.

### **C. Award Administration**

22 CFR 226, OMB Circulars and the Standard Provisions for U.S. Nongovernmental Recipients will be applicable to the resulting grant if it is awarded to a U.S. organization. OMB Circulars and the Standard Provisions for Non-U.S. Nongovernmental Recipients will be applicable to the resulting grant if it is awarded to a non-U.S. organization. The Standard Provisions for Public International Organizations and any special provisions negotiated will be applicable to the resulting grant if it is awarded to a Public International Organization (PIO). These documents may be accessed through the worldwide website at: <http://www.usaid.gov/business/regulations/>

### **D. Applicability of 22 CFR 226**

The following provision will be included in any award to a U.S. entity resulting from this RFA:

#### **APPLICABILITY OF 22 CFR PART 226 (May 2005)**

(a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with subrecipient monitoring procedures in accordance with OMB Circular A-133.

### **E. Program Description**

#### **1. Purpose**

USAID's new media program "Promoting New Media and Media Convergence in Russia" will capitalize on new opportunities associated with development and expansion of new Information Communications Technologies (ICT). This program will assist existing independent media outlets in Russia to transition toward incorporation of more interactive platforms, while also facilitating greater

participation of citizens in information exchange and commentary in the online world. This program should also serve as an incubator of ideas and methodologies that focus on the ways media professionals<sup>1</sup>, civil society organizations and citizens acquire, create and share information.

Overall program goals include:

- building a strong foundation for the development of alternative media and new ways of information dissemination in Russia by promoting convergence of traditional and participatory media;
- strengthening the capacity of Russian regional independent media outlets to produce socially valuable content through the utilization of innovative multimedia and interactive approaches;
- improving the capacity of Russian media development organizations to provide assistance in the area of media convergence and new media; and
- supporting partnerships as well as peer-to-peer interaction between Russian media professionals and their international peers in the areas of media convergence and new media development.

The work performed under this award will contribute to the overall USAID/Russia Mission Strategy. The Mission Strategy is currently under design; however, the Promoting New Media and Media Convergence in Russia program is envisioned as contributing to the goals of “Resilient Civil Society and Responsive, Accountable Governance”, through support of “More Inclusive Citizen Engagement on Public Interest Issues”, and supporting result to be achieved of “Expanded use of ICT, social marketing and public fora”.

## **2. Background**

### **A. *New Media in Russia***

The growth and accessibility of the internet and other ICT technologies in Russia’s vast regions has catalyzed efforts to provide assistance to new content creators -- citizen journalists, bloggers, independent producers, stringer journalists, students, NGO representatives and other civic actors. As increasingly active contributors, these groups represent a valued national resource to general and alternative media operations. This ICT revolution presents diverse opportunities to expand existing media and to create new platforms for dynamic and more interactive discussion, debate and expression on a full range of democracy, good governance and other public interest issues.

Traditional media -- television, radio and print media industries – are today at a fundamental moment of promise and challenge, particularly as digital and internet technologies broaden the range of media stakeholders in Russia’s regions. Digital technologies are fast transforming the very concept of what a traditional media outlet is, and perhaps, should be. Web-based new media generally improve access to information and force traditional mainstream media to become more competitive. Until recently, traditional media in Russia -- particularly television -- largely ignored online news, information and discussions. During the last year, however, multimedia developments seem to have altered the pattern, with an increased amount of television reports following the stories of faster, unfiltered internet coverage. Traditional media expansion into the online world has the potential to enhance the cycle of

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<sup>1</sup> For the purpose of this program, media professionals are defined as professional journalists that are employed by beneficiary media outlets; free-lance journalists and producers; and individual citizen journalists.

feedback and response from broader audiences that stimulate the media, reduce cynicism and self-censorship, and eventually boost accountability among major industry players.

### *B. ICT Usage in Russia*

While use of the internet is increasing rapidly in Russia, its capacity as a tool for democratic engagement remains relatively underdeveloped. Statistics on Russian internet use are available from a number of different sources. According to Russia's Public Opinion Foundation (FOM) March 2010 Report, 37% of the Russian population (or 43.3 million people) currently use internet resources, but frequent (daily) usage is evident primarily in areas where the infrastructure supports better access -- such as Moscow and St. Petersburg. Other findings note that, in 2009, far more Russians were going online from their homes rather than from work or public locations, as compared with usage statistics from 2002. According to a February 2009 Levada Center survey, 33% of all Russian households have a working computer in their home. Internet access via mobile phones and similar devices has also been gaining popularity since 2006, although the numbers are still in single digits (8% in Moscow and 9% in the vast Russian regions according to FOM). According to the International Telecommunications Union (ITU), and based on the number of individual SIM cards, mobile phone penetration in Russia in 2010 was estimated at 132%. There has been little commercial exploration of mobile broadband access via handheld devices or conventional computers equipped with wireless modems. Wireless availability could greatly increase regional internet access.

### *C. Challenges to the widespread adoption of ICT in Russia*

While there is increasing penetration and governmental support for the dissemination of internet and mobile technologies, the level of infrastructure differs markedly across the Russian Federation. For economic reasons, rates of internet access in a particular region are highly correlated to the urban/rural divide, as well as to wide variances in the level of economic development in Russia's regions. The national republics of North Caucasus, as well as some parts of the Far East, are known for consistently poor internet access. According to the Russian Foundation for Public Opinion (FOM), most internet users live in the Central part of Russia (11.3 million), followed by Privolzhkiy region (6.2 million), Northwest (4 million), South region (3.6 million) and the Urals (2.8 million), while the Russian Far East has only 1.4 million Internet users. High costs and inadequate service coverage are major obstacles to widespread internet use among the vast majority of citizens. Among those who have completed some higher education, 61% are Internet users, compared with only 27% among individuals with a secondary school education or less.

Web 2.0 tools, along with platforms such as You Tube, Facebook, Twitter, as well as well-established Russian social networks such as V Kontakte ([www.vkontakte.ru](http://www.vkontakte.ru)), Odnoklassniki ([www.odnoklassniki.ru](http://www.odnoklassniki.ru)) and Russian Live Journal ([www.livejournal.ru](http://www.livejournal.ru)) are unrestricted and freely accessible. All have experienced a substantial surge in use during recent years, including among media outlets, with advertisers increasingly and actively exploring them for potential as new revenue sources.

While the rapid development of ICT and new media applications has given rise to new opportunities, it has also intensified existing pressures on the news and information industry, ranging from censorship and ethical issues to increased competition and the financial challenges of an industry uniquely vulnerable to economic fluctuations. As is the case in a number of countries around the world, powerful special interests in Russia, at times target the media in attempts to influence coverage and shape the messages and information available to the majority of the population. In addition, these

same special interests may attempt to incline or subvert the democratic debate using active measures or counter-measures of disinformation, entering into the various approved communication platforms, be they blogs, or media outlets' online discussion forums. This phenomenon heightens the need for strengthening the availability of independent, thoughtful, analysis and high-quality content online.

In addition, there are significant challenges to incorporating new media and ICT platforms into existing media knowledge, skills and ability sets and media business models:

- Journalists lack professional training and practical skills to become professionals capable of operating in an emerging platform neutral, multi-media environment.
- Traditional media outlets do not have sufficient experience in establishing convergent newsrooms and operating as interactive multi-media platforms.
- Attracting advertisers and generating profit while using multi-media platforms requires a complete different set of strategies and approaches.
- Increasingly blurred legal boundaries between traditional and new media require an improved legal enabling environment, advocacy for policy reform in the areas of open internet access and development of a new set of skills among media lawyers.

#### *D. Challenges facing new media actors*

Finally, the growth of internet technologies into Russia's vast regions means the advent of new content creators -- citizen journalists, bloggers, independent producers, stringer journalists, students, NGO representatives and other civic actors who are increasingly active contributors to the general media equation. These newcomers need skills, training, and incentives to bring their ideas and energy to the public in a compelling and constructive way. This influx of new actors places a new set of questions on the agenda:

- Reevaluating the role of journalist and the role of independent media in a participatory world of blogs and citizen journalists
- Lack of a clear legal and regulatory framework for new content creators
- The role of social networks in information gathering and dissemination
- Objectivity and reliability of information produced by new content creators
- The need for ethical standards and codes of conduct for new content creators
- The impact and potential for greater impact of online media, social networks and Internet-based users' communities on civic engagement and activism
- Online communities remain isolated and lack strong connections to the offline world.

Access to information and knowledge resources is expanding dramatically in Russia. Today, remote communities are increasingly better connected, digital tools have democratized the means of content production, and once significant barriers to sharing and networking have all but disappeared. The result has been that traditional media has increasingly shifted to multi-media online platforms, as well as the impressive number of new media players. As independent media outlets, internet broadcasters, online only publications, bloggers and podcasters, various communities, and average citizens increasingly enter the new media landscape; it remains far from clear how these groups will intersect.

*E. Media Projects Currently Funded by USAID/Russia*

USAID/Russia presently supports independent media development in the outlying regions of Russia through a series of coordinated efforts aimed at enabling regional media outlets to become more economically viable, dedicated to the production of unbiased, fact-based news content which exhibits the highest standards of journalism, ethics and technology. These programs also support professional and institutional development to make independent media a sustainable industry in Russia's modern economic environment.

*i. Russian Independent Print Media Program III (RIPMP III)*

RIPMP III has been implemented since 2004 by the New Eurasia Foundation. The major goal of the program is to increase the number and quality of newspapers that serve as the primary source of news for their communities in the vast Russian regions. RIPMP III strengthens regional print media through expanded business development; establishment and wide acceptance of professional and ethics standards; increased access to legal support; strengthening professional associations and facilitation of both formal and informal networking and community-building among regional publishers. RIPMP III serves as the prime initiator and organizer for a variety of industry events of importance to regional newspapers such as the first *All-Russian Best Regional Newspaper Contest* ([www.bestnewspaper.ru](http://www.bestnewspaper.ru)) and *Newspaper Design Competition* ([www.newspaperdesign.ru](http://www.newspaperdesign.ru)). RIPMP III also provides technical guidance to the *Alliance of Independent Regional Publishers (AIRP)* (<http://anri.org.ru>), the first independent print industry association uniting 55 leading publishing houses across Russia. The program has been instrumental in helping AIRP to overcome its institutional crisis. As a result, AIRP has elected a new board of directors, increased its membership and continues to expand its role as an advocate for regional press rights and offers a wide variety of high quality services to its members. RIPMP III also provides administrative support to two independent regional press centers in Moscow and St. Petersburg. These centers serve as forums for a wide range of USAID partner NGOs working in such critical areas as transparency of electoral process; protection of human rights; local governance reform; combating HIV/AIDS, protection of environment, etc.

*ii. Independent Radio in Russia*

The Foundation for Independent Radio Broadcasting (FNR) is implementing the program "Independent Radio in Russia." FNR was founded in 1999, taking over and considerably expanding the activities launched by the BBC Marshall Plan of the Mind in 1992. FNR operations are based on traditions of public service and international standards of fairness, objectivity, independence and accuracy. Over the past 10 years, FNR has turned into a knowledge center and business support institution for the regional radio industry. It provides core business and journalism training to regional radio stations with a proven stake in local informational program production. The training is provided through online distance learning courses or in-house seminars in the areas of journalism, management, advertising and media law. FNR conducts an annual festival for informational radio stations "Together Radio" ([www.radiofestival.ru](http://www.radiofestival.ru)); maintains a radio portal ([www.radiportal.ru](http://www.radiportal.ru)) with the most updated information on the radio industry development trends; provides internship opportunities for regional journalists; works with a number of Russian regional universities to develop community radio stations and promote the value of the journalistic profession among youth. In 2008, FNR implemented a project aimed at teaching radio journalists responsible coverage during elections campaigns. FNR also launched a unique new media project -- the only Russian-language online public affairs radio network ([www.podstantsiya.ru](http://www.podstantsiya.ru)), the only website using podcasts and related online audio distribution

mechanism to address public interest, cultural, and new media/technology issues in a creative and informative way.

*iii. International Media Partnership Program (IMPP)*

IMPP was launched in 2007 and is implemented by the International Exchange and Research Board (IREX). The program supports Russian media organizations and professional associations through collaboration with counterparts in the United States and Europe. Media partnerships are established around professional media association building and industry self-regulation; fostering professional exchanges and internships; production of public affairs programming; and improvement of basic professional education for media professionals and curriculum development for schools of journalism around Russia. Twelve partnerships have been funded through two rounds of grant competition. These partnerships are proving effective in a number of areas related to improving media operational environment in Russia. Partnership accomplishments include the launch of the Regional Business Media Network that will allow AIRP members raise advertising revenues during economic crisis; the creation of the first Media and Disability Center in Nizhny Novgorod; and the addition of a non-commercial partnership of 14 Russian universities into the European Journalism and Training Association roster, thereby enabling Russian journalism students to study at any association member university in European Union.

*iv. Media and Politics: Dialogue as a Basis for Russian Society Democratization*

This program is implemented by the Foundation for Information Policy Development (FIPD). The FIPD program aims to strengthen the role of mass media in efficient coverage of socio-political, economic, electoral and policy issues; and promotes development of informational policy and public dialogue in selected regions. FIPD provides its expertise to media representatives and governmental authorities through its network of regional experts, producing expert analytical polls on different social and political issues. Its expertise and polling results are publicly available at [www.frip.ru](http://www.frip.ru) and through the analytical portal “Experts for Civil Society” [www.4CS.ru](http://www.4CS.ru). Since 2004, FIPD has held 180 regional and national level seminars covering cooperation of media, authorities and local constituencies to promote local self-governance reform and information policy development. These seminars have drawn over 4,600 participants from the media, NGO and governmental sectors. FIPD has become a recognized resource for both media and local/regional authorities. Many regional administrations co-sponsor FIPD seminars in various forms, including in-kind contribution.

### **3. Program Objectives**

The new program has the following major objectives:

- A. Strengthen and support production of media and alternative citizen-generated content to provide objective information and more inclusive discussion on public interest issues.
- B. Support improvements in the legal enabling environment, legal support to new media development, and public advocacy by NGOs, media assistance organizations and the international community on specific issues of developing new media.
- C. Support improvements in the legal enabling environment, legal support to new media development, and public advocacy by NGOs, media assistance organizations and the international community on specific issues of developing new media.

D. Create a new mechanism that can accomplish the following objectives:

1. help Russian media organizations establish partnerships with international peers built around issues of media convergence and new media/ICT development;
2. support regional initiatives that facilitate convergence among participatory and traditional media;
3. support improvements in the legal enabling environment for digital media, including open, public, and possibly free, access to Internet;
4. support the replication of these initiatives, where possible, across Russia's diverse regions.

#### **4. Program Implementation Components**

A successful applicant will be required to implement each of the following components:

##### **Component # 1:**

##### **Support to Production of Multi-media and Alternative Citizen-generated Content**

Component 1 of the program will support the development of independent media through the convergence of new and traditional media by providing training, technical guidance and technical support to Russian journalists and new content creators (citizen journalists and bloggers) through a broad variety of New Media applications. This component also aims to assist traditional media outlets to emerge into more interactive new media platforms by developing their online presence. In order to obtain a comprehensive picture of the needs of the regional media industry and identify existing gaps in knowledge and skills or regional journalists and new content creators that could influence the development of multimedia activities, the Applicant is encouraged to use all existing available resources and/or if necessary conduct its own needs assessment prior to launching the program.

##### **Illustrative Interventions:**

- Provide training in multimedia journalism for a selected groups of Russian regional journalists, free-lance journalists, bloggers, independent producers, citizen journalists and other categories of new content creators and develop their skills to produce ethically balanced and compelling materials on a broad spectrum of key issues, including elections, rule of law, human rights, corruption, local and national governance, health, education, environmental issues, the military and conscription, economic and business development and other matters pertinent to the public interest.
- Help selected traditional regional media outlets to emerge into more interactive new media platforms by expanding their internet presence and developing web-based versions, activities could include trainings and individually tailored consultations in the following areas: a) educate managers of traditional media outlets on how to develop and promote their internet resources and how to compete with regional news portals; b) training for traditional media on how to attract advertisers and philanthropists to their Internet resources; how to sell advertising packages and target on-line advertising; c) training for journalists employed by traditional media outlets on how to create internet-specific content; d) develop programs targeting on-line publications only; e) provide legal support as needed in specific areas of expertise; f) assist media outlets in organization of Internet-based discussion forums.

- Assist existing media outlets who already have internet presence in adapting their web sites for the easy receipt, organization and posting of citizen-generated video content to their web sites. Network existing web sites to traditional media.
- Assist independent/alternative internet-based news sources in the practice of avoiding censorship and content protection.
- Support citizen media and new content creators in developing their ability to expand the scope of media coverage by providing training for new content creators in principles of professional journalism. Illustrative topics include: objectivity in a fragmented media environment; codes of conduct for new content creators; skills necessary for verification of information; investigative reporting skills; truth, credibility, and responsibility in a wiki world; ethics of crowd sourcing, etc. The work with bloggers and citizen journalists could also include supporting informal blogger/journalism training or “journalistic camps” designed to rise citizen-contributed reporting to the information medium and where new content creators can interact with each other and exchange experience and ideas.
- Assist in creating internet-based networks to promote exchange of content between media outlets.
- Establish a functioning network of professional and citizen journalists that is sensitive to social problems, including violations of human rights and citizen rights and freedoms, and promotes use of multiple new media platforms to report on these issues.

## **Component # 2 :**

### **Provision of Public Advocacy, Media Monitoring and Legal Support to New Media Development**

Component 2 of the program will foster the growth of an open, widely available and affordable internet by creating and/or supporting public advocacy for Internet freedom, including unrestricted internet access in Russia; providing in-depth digital communications policy analysis; training and assistance to advocates of internet freedom; facilitating collaboration efforts of Russian media-sector organizations to provide needed legal guidance and legal assistance to new media outlets and new content creators; and monitoring Internet to assure quality control and presentation of balanced, responsible, and diverse information content via a broad variety of new media platforms.

This component will work with domestic NGOs, other donors and the international community to confront and speak with a unified voice about legislation, regulations, and/or other measures that impede internet freedom and free access to information. The program will also work with many existing, strong and respected media-support civil society organizations in Russia to better coordinate their efforts in advocating freedom of internet, promote policy and legislation development.

Acknowledged as leaders in the media NGO community are: the Foundation for Independent Radio Broadcasting (FNR), the New Eurasia Foundation Media Program (EMP), the Alliance of Independent Regional Broadcasters (AIRP), the National Association of Telebroadcasters (NAT), the Russian Union of Journalists, Media Law and Policy Institute, the Collegium of Media Lawyers, Institute for Freedom of Information Development/St.Petersburg, the Regional Press Institute/St.Petersburg, the Glasnost Defense Fund, the Center for Journalism in Extreme Situations, and several others are acknowledged as leaders in the media NGO community. Networking these organizations with other active NGOs for common purpose is one of the possible approaches to improve advocacy.

Furthermore, establishing connections between Russian organizations and existing U.S. and international think-tanks, media advocacy groups and joint initiatives can maximize effectiveness of this component of the program. In the U.S. there are following respected leaders in the area: the Berkman Center for Internet and Society at Harvard University (<http://cyber.law.harvard.edu>); the Global Network Initiative (<http://www.globalnetworkinitiative.org>); the Opened Initiative

(<http://opennet.net/>); the Center for Democracy and Technology (<http://www.cdt.org>); the Internet Advertising Board (<http://www.iab.net>), etc.

Another key aspect of this component is addressing the issue of quality and reliability of information produced by new content creators (citizen journalists, independent online only media, bloggers, etc.). Through existing and/or new media institutions and mechanisms the program will independently monitor journalistic standards on Internet.

Illustrative Interventions:

- Network local internet policy advocates, and strengthen the channels of communication and collaboration among leading media NGOs through the robust use of new technologies.
- Provide assistance to leading media advocacy NGOs on effective strategies for shaping policy and regulation and establishing positive relationships with reform-minded governmental officials.
- Provide media lawyers' community with in-depth knowledge and skills necessary to proactively advocate on various issues dealing with internet freedom.
- Provide independent journalists and new content creators with legal assistance as needed in the form of legal consultations, advice and representation.
- Conduct consistent and comprehensive monitoring of content distributed via new media platforms.

**Component # 3:**

**Regional New Media Initiatives and International Partnerships Build around Issues of Media Convergence and New Media Development**

Component 3 of the program will:

- 1) Help Russian media organizations establish partnership with international peers built around issues of media convergence, new media development, and expanded citizen access to and use of related ICT applications; and
- 2) Develop a small grants program in support of regional initiatives that facilitate convergence among participatory and traditional media and promote favorable enabling environment for new media development.

Illustrative Interventions:

The Program will fund new media partnerships and regional initiatives around the following themes:

- Development of financially sustainable new media resources and web sites. Development of the on-line advertising industry.
- Development of improved enabling environment for digital media, including open Internet access.
- Adapting basic professional education to new media realities. Curriculum development for schools of journalism across Russia with emphasis on media convergence, new media development, transition to digital broadcasting and other new technological challenges.

- Development of models that will allow expansion of successful traditional media into new markets and forms of content distribution (newspapers into radio and on-line TV broadcasting, radio into Internet broadcasting, etc.)
- Initiatives aimed at creation of regional-based Internet platforms that will be used for exchange of information, contacts and news. These could include professional and moderated regional-based new sites with correspondents' network which allow for easy and varied uploading/sharing of content.
- Initiatives that utilize possibilities offered by social networks and other Internet resources to build virtual networks and face-to-face exchanges between media professionals at all levels.
- Initiatives aimed at strengthening ties between traditional media outlets and local communities they serve through development of on-line interactive community-based journalism.

Partners:

Partners in the program may include U.S., Russian, and international media organizations, professional media associations, journalism schools, think-tanks, and/or other organizations engaging in new media development issues.

Sub-grant Recipients:

Sub-grant Recipients in the program will be Russian organizations, including: regional traditional and Internet-based media, Internet-based news and content exchange portals, local schools of journalism, NGOs, networks of new content creators (citizen journalists and/or bloggers) and other organizations engaging in new media development issues in the Russian regions.

The program may establish new partnerships and fund new regional initiatives and/or may support existing partnerships and new regional initiatives.

## **5. Expected Results**

It is expected that at the end of the Program, the following results will be achieved:

- Beneficiary media outlets become more audience-oriented and solicit feedback from viewers, listeners or readers;
- Traditional media incorporate and expand new digital communication technologies to become more interactive platforms;
- Traditional mass communication expands by attracting citizen-generated content;
- Increased number of traditional media outlets with Internet presence and web sites;
- Journalists and citizens acquire multi-media skills and apply them in practice;
- Multi-media skills are included in the schools of journalism curriculum using practical experience of professionals interacting with citizen journalists;

- Russian media professionals establish partnership with international peers built around issues of media convergence and new media development;
- Regional initiatives that facilitate convergence among participatory and traditional media and support improvements in the legal enabling environment for digital media, including free access to Internet, are developed and can be easily replicated in other locations;
- A more inclusive public discussion on key social issues is generated through use of new media.
- Increased use of new media technologies for the delivery and promotion of socially relevant content by independent media organizations, journalists and citizens. This will have resulted in significant amounts of all forms of content flowing in multiple directions across a wide variety of media platforms.

## **6. Gender Analysis**

The Applicant should integrate gender into the design, planning, implementation and evaluation of the suggested activities. This means identifying and then addressing gender differences and inequalities and ensuring participation of and benefits to both genders. Applicants are encouraged to consider how the different roles and status of women and men within the media professional community affect the work to be undertaken under a project and how the anticipated results of the work will affect women and men differently. Some of the recent research papers show that two of the main challenges in media development from the gender perspective are 1) a lack of adequate training and skills to cover gender issues – or other socially relevant issues, and 2) production of content that is gender stereotyped and therefore reinforces gender myths.

Successful applications will include consideration of the following factors:

- a) To the greatest extent possible, the Applicant shall seek to include both men and women in all aspects of its programs, including participation and leadership in meetings, discussions, working groups, counseling activities, exchanges and delegation;
- b) The Applicant shall pay particular attention to ensuring that the specific interests of men and women as they relate to the development of new media and media convergence are considered in the development of training and cooperative activities, curricula, professional codes of ethics, market research and advertising;
- c) The Applicant shall pay particular attention to train media professionals and new content creators in covering a full spectrum of social issues essential and equitable to gender considerations;
- d) The Applicant shall collect, analyze and submit to USAID/Russia gender-disaggregated data and propose how they will address any unidentified gender-related issues.

## SECTION II – AWARD INFORMATION

### A. Estimate of Funds Available

Subject to the availability of funds and approval of USAID/Russia's annual Operational Plan, USAID intends to provide approximately \$4 million in total USAID funding for the life of the activity (three years).

### B. Type and Number of Awards

USAID intends to award one (1) Cooperative Agreement to the responsible applicant whose program is considered to best meet the development challenge outlined in the RFA. Note: The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received. USAID reserves the right to fund any or none of the applications submitted.

### C. Start Date and Period of Performance

USAID anticipates making an award by mid-calendar year 2011. The period of performance anticipated herein is three (3) years.

### D. Substantial Involvement

USAID considers collaboration with the Recipient crucial for the successful implementation of this project. A Cooperative Agreement implies a level of "substantial involvement" by USAID through the Agreement Officer's Technical Representative (AOTR) or the Agreement Officer (AO). 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:

1. Approval of key personnel.
2. Approval of the initial and subsequent annual work plans, including the Award Monitoring Plan.
3. Approval of the monitoring and evaluation plan.
4. Concurrence on selection criteria for sub-grants
5. Concurrence on sub-grants

### **SECTION III – ELIGIBILITY INFORMATION**

#### **A. Eligible Applicants**

Qualified applicants may be U.S. private voluntary organizations (U.S. PVOs) and/or U.S., Russian or other non-U.S. non-governmental organizations (NGOs) or private, non-profit organizations (or for-profit companies willing to forego profits), including universities, research organizations, professional associations, and relevant special interest associations. Public International Organizations (PIOs) and faith-based and community organizations are also eligible for award. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners, particularly if they are joined with a more experienced organization.

#### **B. Local Registration**

All local institutions or affiliates of international organizations must be registered as a legal entity in Russia. Local registration is not a requirement at application time, but **it is required prior to the launch of project activities.**

#### **C. Cost Sharing or Leveraging**

There is no cost share or leveraging requirement. However, applicants are encouraged to contribute resources from their own, private or local sources for the implementation of this project.

## SECTION IV – APPLICATION AND SUBMISSION INFORMATION

### A. Application Package

This RFA and any future amendments can be downloaded from [www.grants.gov](http://www.grants.gov). In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@usaid.gov](mailto:support@usaid.gov) for technical assistance. Applicants may upload applications to [www.grants.gov](http://www.grants.gov). It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

Potential applicants may also request a copy of the RFA application package by sending an email to [Russia-Applications@usaid.gov](mailto:Russia-Applications@usaid.gov), referring to RFA-118-11-000002 “Promoting New Media and Media Convergence in Russia”.

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

- (1) Section V.B – Technical Evaluation;
- (2) Section IV.D – Submission of Applications;
- (3) Section IV.E – Application Preparation Guidelines; and
- (4) Section I – Funding Opportunity Description

### B. Point of Contact

Charles S. “Chuck” Pope, Agreement Officer  
U.S. Agency for International Development  
Novinsky Boulevard 19/23  
121099 Moscow  
Russian Federation

### C. Questions

Any questions concerning this RFA must be submitted in writing to [Russia-Applications@usaid.gov](mailto:Russia-Applications@usaid.gov) by 1700 hours local Moscow time on March 23, 2011. Oral explanations or instructions given before award will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

### D. Submission of Applications

**Applications must be submitted no later than 1700 hours local Moscow time on April 22, 2011. Late applications will be accepted and reviewed at the discretion of the Agreement Officer.**

Applications may be submitted using any one of the following methods:

1. **Submission through www.grants.gov:** Applicants are encouraged to up-load applications to [www.grants.gov](http://www.grants.gov). Please go to <http://www.grants.gov> for application instructions. For Grants.gov technical support, call 1-800-518-4726. Applications will be considered received by USAID on the date and time when the application has been submitted to Grants.gov for validation. Grants.gov will certify and electronically stamp applications upon receipt.
2. **By Email Submission:** Applicants e-mailing submissions shall forward them to the following e-mail address: [Russia-Applications@usaid.gov](mailto:Russia-Applications@usaid.gov) with the e-mail SUBJECT line to read: "Application for Promoting New Media and Media Convergence in Russia." 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. The maximum size for an unzipped file is 5 MB. However, please note that USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Acceptable file formats are Word, Adobe Acrobat and Excel.
3. **Hard Copy Submissions:** Applications shall be submitted in two separate sealed envelopes: (a) technical portions of applications in an original and two copies and (b) cost portions of applications in an original and one copy. Hard copy submissions must in MS Word and/or Excel on letter or on A4 paper and single-spaced, using 10 or 12 font. The applicant must also include a copy of the technical and cost proposals on one CD which should be included with the hard copy submission. Applications and modifications thereto shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon. Applicants should submit the hard copy application package as follows:

Charles S. "Chuck" Pope, Agreement Officer  
American Embassy Moscow  
U.S. Agency for International Development  
Novinsky Boulevard 19/23  
121099 Moscow  
Russian Federation  
Tel: (7-495) 728-5000

4. **Faxed Applications:** Faxed applications will not be accepted. However, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

#### **E. Application Preparation Guidelines**

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the technical and cost application format.

All applications must be submitted in English in two separate parts: (a) technical and (b) cost or business application.

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

#### **F. Technical Application Format**

The technical application will be the most important item of consideration in selection for award of the proposed activity. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Therefore, it should be specific, complete and concise and arranged in the order of the evaluation criteria contained in Section V.

Technical applications should not exceed 30 pages in length, exclusive of the two annexes. The technical application shall consist of the following:

- Cover Page (1 page)
- Application Summary (2 pages)
- Narrative (27 pages)
  - Technical Approach (14 pages)
  - Sustainability Plan (3 pages)
  - Illustrative First Year Implementation Plan (2 pages)
  - Illustrative Award Monitoring Plan (2 pages)
  - Management & Institutional Capacity, including Management Plan (3 pages)
  - Project Team (3 pages)
- Annexes
  - Resumes (not more than 2 pages per resume)
  - Past Performance References (3 pages)

**To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. All charts, graphs, pictures, etc, are included in the page limits above. Any other information submitted, including letters of reference or commitment or additional annexes, will not be provided to the evaluation panel and will not be evaluated.**

Technical applications shall include:

**Cover Page:** A **single page** with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed subgrantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The DUNS and TIN (U.S. applicants only) numbers of the Applicant should also be listed on the cover page.

**Application Summary:** The Application Summary **shall not exceed two pages** and should summarize the key elements of the Applicant's strategy and approach. The Application Summary should be concise and accurate.

**Narrative (30 pages or less):** The narrative should contain the following elements:

**a. Technical Approach (17 pages or less)**

i. The Program Approach must include a clear description of the conceptual approach and the general strategy proposed, explain how the approach is expected to achieve the proposed objectives; include a well-articulated strategy for long-term impact, and describe a plan that will enable the activities to continue after the grant is completed. Applicants must specify annual and end-of-program results in the design of the program that directly contribute to the results identified in the Program Description Framework. Applicants are encouraged to propose innovative programs to reach the desired outcomes/results.

ii. Applications shall discuss how to obtain results. The applicant should discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.

iii. Applicants must provide a description of any partnerships and sub-recipient relationships planned with partners. Applicants should detail any existing relationships with partner organizations and/or the methods proposed to establish new relationships. In this regard it is necessary to describe how elements of the grant will be implemented with non-government organization partners and other types of partners.

iv. In accordance with USAID policies, activities will address gender issues as appropriate, and promote gender equality as a goal of program activities. Applicants should address these fundamental gender questions:

1. How will gender roles and relations affect the achievement of project results?
2. How will project results impact the relative status of men and women?
3. How can attention to gender issues be elevated in project activities?

**b. Illustrative First Year Implementation Plan (2 pages or less)**

The application must provide an illustrative First Year Implementation Plan for achieving expected program results. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual approach, and performance milestones, and should include a realistic timeline for achieving the annual and end-of-program results. This plan will be considered illustrative for the purposes of evaluating applications; however, once the award is made, finalizing the implementation plan will be a key activity. Within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised first year implementation plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR).

**c. Illustrative Award Monitoring Plan (2 pages or less)**

As part of the program approach, applicants shall submit an Award Monitoring Plan (AMP). However, within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised/updated plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR). Applicants shall propose a plan for establishment of baseline data for indicators and performance targets, data collection and annual reporting.

**d. Project Team (3 pages or less)**

The applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. Applicants must propose which positions should be Key Personnel (no more than five positions or five percent of recipient employees employed under the award, whichever is greater). In an annex to the technical application, applicants should provide resumes for the candidates proposed for all key personnel and long-term positions. The resumes should demonstrate that the proposed key personnel and long-term staff possess the skills and knowledge to effectively carry out their proposed responsibilities. Applicants must also demonstrate how they plan to build in-country capacity to provide project leadership, technical guidance and overall management over the life of the project.

**e. Management & Institutional Capacity (3 pages or less)**

As part of the technical application, applicants must submit a **Management Plan**. The applicant should specify the organizational structure of the entire project team, including home office support and implementing partners, if any, for the entire project, and describe how the proposed program will be managed. "Implementing partners" are organizations that will have substantial implementation responsibilities. The management plan should identify potential implementing partners and clearly state the responsibilities of each proposed implementing partner in achieving the proposed results and the unique capacities/skills they bring to the program. Please note that documentation that reflects an "exclusive" relationship between implementing partners is not requested and should not be submitted.

Applicants must also offer evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in managing similar programs in the past. Information in this section should include (but is not limited to) the following information:

- a. Brief description of organizational history and experience
- b. Examples of accomplishments in developing and implementing similar programs
- c. Relevant experience with proposed approaches
- d. Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas
- e. Sub-recipient or subcontractor capabilities and expertise, if applicable;
- f. Proposed field management structure and financial controls;
- g. Home office backstopping and its purpose.

**Annexes:**

**Resumes:** Resumes are to be included as an Annex for each individual who is proposed as key personnel and/or long-term staff on the program, for both the Applicant and proposed implementing partners, if any. Resumes should use a common format and should include at least three references

with telephone numbers and e-mail addresses for each reference. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is not requested and should not be submitted. **Each resume should not exceed 2 pages.**

**Past Performance References:** Describe all contracts, grants and cooperative agreements which the organization (both the primary Applicant as well as any partners substantially involved in implementation) has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of a responsible representative of the organization for which the work was performed; contract/grant name and number (if any); annual amount received for each of the last three years; beginning and ending dates; and a brief description of the project/assistance activity. **Past performance information should not exceed 3 pages in total.**

USAID may contact references (for both the applicant and for personnel proposed) and use the past performance data regarding the organization, along with other information to determine the applicant’s responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

#### **G. Cost Application Format**

The Cost or Business Application is to be submitted in English under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The Cost Application shall consist of the following:

1. Cover Page
2. SF-424, SF-424A and SF-424B (U.S. organizations only)
3. Mandatory Certifications and Assurances
4. Acknowledgement of any amendments to the RFA
5. Budget
6. Budget Narrative
7. Teaming documents (if any)
8. Current Negotiated Indirect Cost Rate Agreement (NICRA) OR documentation from applicants who do not have a current NICRA or who have never received an award from the U.S. government as explained more fully below.
9. Additional financial documentation
10. Evidence of responsibility

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

## 1. **Cover Page**

A single page with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

## 2. **SF-424**

Pursuant to OMB Circular A-102, U.S. Organizations must complete the SF 424, SF 424A, and SF 424B. These forms may be found at:

- SF- 424: <http://www.usaid.gov/forms/sf424.pdf>
- SF-424A: <http://www.grants.gov/techlib/SF424A-V1.0.pdf>
- SF-424B: <http://www.grants.gov/techlib/SF424B.PDF>

## 3. **Mandatory Certifications and Assurances**

Applicants must submit the following mandatory certifications:

- PART I – Certifications and Assurances
  - Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
  - Certification Regarding Lobbying
  - Certification Covering Terrorist Financing
- PART II – Other Statements of Recipient

These certifications and assurances are attached as Annex C to this RFA.

## 4. **Acknowledgement of Any Amendments to the RFA**

Applicants shall acknowledge receipt of all amendments, if any, to this RFA by signing and returning the amendment as part of the cost application. The Government must receive the acknowledgement by the time specified for receipt of applications.

## 5. **Budget**

Applicants must submit an overall summary budget as well as a detailed annual budget defined by result area or component. Stated another way, the budget should relate to results while also showing the type of cost for each result. The budget must clearly display:

- 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 associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- d. the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Grant; and
- e. the potential contributions of non-USAID or private commercial donors to the proposed agreement.

## 6. **Budget Narrative**

To support the costs proposed, please provide detailed budget narrative for all costs that clearly identifies the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, etc. The combination of the cost data and breakdowns specified above and the budget narrative must be sufficient to allow a determination whether the costs estimated are reasonable and realistic. If the information described below is provided in the budget described above, then the information need not be included in the Budget Notes. The following section provides guidance on issues involving specific types of costs. Please note that applicants are **not** required to present their costs in the budget or budget narrative in the format or order below.

- a. Salary and Wages  
Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
- b. Fringe Benefits  
If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.
- c. Travel and Transportation  
The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
- d. Equipment  
Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.

- e. Materials and Supplies  
Specify all materials and supplies expected to be purchased, including type, unit cost and units.
- f. Communications  
Specific information regarding the type of communication cost at issue (*i.e.* mail, telephone, cellular phones, internet *etc.*) must be included in order to allow an assessment of the realism and reasonableness of this types of costs.
- g. Subcontracts/Subwards/Consultants  
Information sufficient to determine the reasonableness of the cost of each specific subcontract/subaward and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.
- h. Allowances  
Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.
- i. Direct Facilities Costs  
Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.
- j. Other Direct Costs  
This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
- k. Indirect Costs  
The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of any such cost proposed to be associated with this agreement. (For example, a breakdown of labor bases and overhead pools, the method of determining the direct versus the indirect costs, a description of all costs in the pools, *etc.*).

## **7. Teaming Documentation**

If the applicant is a group of organizations that has actually formed a separate entity – *i.e.* a joint venture -- for the purposes of this application, then the cost application must include a copy of the

documents that set forth the legal relationship between the partner organizations. If no joint venture is involved, the cost application should include a complete discussion of the relationship between the applicant and its partner organizations, how work under the program will be allocated and how work will be organized and managed. The Budget Narrative described above should discuss which team member is bearing a particular cost where appropriate and justify and explain the cost in question.

**8. Current Negotiated Indirect Cost Rate Agreement (NICRA)**

A current Negotiated Indirect Cost Rate Agreement must be submitted, if the applicant has one

**9. Additional Financial Documentation**

The cost application should include information on the applicant's financial status and management. All applicants should submit information relating to whether there has been approval of the organization's accounting system by a U.S. Government agency, including the name, address, and telephone number of the cognizant auditor. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application.

Organizations that have never been awarded a U.S. government contract or grant must present the following documentation:

- (a) Audited financial statements for the past three years;
- (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable;
- (c) Copies of the applicant's accounting, personnel, travel and procurement policies.

Please indicate whether any of these policies have been reviewed and approved by any agency of the U.S. government. If so, provide the name, address, email and phone number of the cognizant reviewing official. **Similar information should be submitted for all partner organizations.**

**10. Evidence of Responsibility**

Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- a. has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- b. has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
- c. has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

- d. has a satisfactory record of integrity and business ethics; and
- e. is otherwise qualified and eligible to receive a grant under applicable laws and regulations.

An award shall be made only when the Grant Officer makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

For organizations that are new to USAID or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey.

**F. Statement on Disclosure of Data**

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

- a. Mark the title page with the following legend:

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

- b. Mark each sheet of data it wishes to restrict with the following legend:

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

## SECTION V – APPLICATION REVIEW INFORMATION

### A. Basis for Award

Award will be made to the responsible applicant whose program is considered to best meet the development challenge outlined in the RFA. The final award decision is made by the Grant Officer, taking into account the Technical Evaluation Committee recommendations, cost evaluation (including cost share) and the applicant's proposed Branding Strategy and Marking Plan.

### B. Technical Evaluation

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

Applications will be evaluated and ranked according to the technical selection criteria identified below. The relative importance of each criterion is indicated by points. A total of 100 points are possible. Sub-criteria have not been assigned points but are presented in descending order of importance.

## SELECTION CRITERIA

### 1. *Proposed Technical Approach (45 points)*

- Extent to which the proposed approach is well-conceived, clear, detailed, technically sound and ambitious; feasible to achieve all the objectives and special considerations identified in the USAID Program Description.
- Demonstrated familiarity with the major issues pertaining to the current state of the Russian media industry in general and new/alternative media issues facing Russia in specific. Demonstrated knowledge of existing ICT tools and their practical application.
- Extent to which the application specifically defines interim and final results and the means to measure the anticipated program impact as outlines in the Performance and Evaluation Plan.
- Innovative plans for integrating gender considerations.

### 2. *Program Personnel Capabilities and Experience (25 points)*

- Technical qualifications, professional competence, relevant academic background, Russian and English language capability, and demonstrated experience in carrying out media sector assistance as it relates to promoting new/alternative media, media convergence, ICT tools, access to information, and citizen participation strengthening programs in transitional countries.

- Demonstrated effective interpersonal skills, creative problem-solving and ethical management; and prior experience working with international donors in transitional democracies, Russia, and/or the former Soviet Republics.
- Appropriateness of the composition and organizational structure of the project team (including home office support for American and international organizations). That is, the extent to which the application provides a clear, sound, appropriate and cost-effective staffing pattern with responsibilities and authorities among different positions adequately and clearly delineated.

### **3. *Organizational Institutional Capacity (15 points)***

- Extent to which the Recipient proposes a management plan to manage the project with a clear division of duties and responsibilities among the Recipient and any proposed partnering organization(s).
- Demonstrated experience operating in the Russian and international media environment.
- Demonstrated experience in establishing cross-border relationships between organizations.
- Demonstrated organizational knowledge, capability and past performance of the applicant in quickly yet effectively staffing a project and launching program activities.

### **4. *Past Performance (15 points)***

- Past performance in carrying out media support activities, preferably in the former Soviet Union (FSU) and/or Eastern Europe.
- Demonstrated successful track record in implementing and monitoring similar innovative media development programs, with substantial success and achievement of results with new and alternative media programs.
- Past performance in the development of partnerships with host country organizations and/or other non-governmental organizations (NGOs).

## **C. Cost Evaluation**

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allocability, allowability and cost-effectiveness. Cost sharing will be evaluated on the level of financial participation proposed and the added value it represents to the program.

## **D. Review and Selection Process**

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth above. Thereafter, the cost application(s) of the most highly-ranked applicant(s) will be opened. To the extent that they are necessary, clarifications or negotiations will then be conducted. The Grant Officer will then select an Apparently Successful Applicant. The Apparently Successful Applicant means the applicant recommended for an award after evaluation, but who has not yet been awarded a

grant, cooperative agreement or other assistance award by the Grant Officer. The Grant Officer will request that the Apparently Successful Applicant submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

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

The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

## SECTION VI – AWARD AND ADMINISTRATION INFORMATION

### A. Authority to Obligate the Government

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

### B. Award Notices

All applicants will be notified in writing of the final decision regarding their application.

### C. Administrative and National Policy Requirements

#### 1. Award Format

If award is made to a U.S. or non-U.S. organization, the standard format for award of a grant to a U.S. or non-U.S. organization, as prescribed in ADS 303, will be used. If award is made to a public international organization, the standard format for an award to a PIO, as prescribed in ADS 308 but modified for a cooperative agreement, and with special provisions negotiated as necessary, will be used.

#### 2. Allowable Costs

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, the Mandatory Standard Provision entitled “Allowable Costs (OCTOBER 1998)” for non-U.S., nongovernmental recipients, and the Mandatory Standard Provision entitled “Allowable Costs (DEC 2003)” for public international organizations), may be paid under the grant.

#### 3. Funding Restrictions

The award resulting from this RFA may have restrictions on funding activities that benefit the central government of the Russian Federation and its institutions.

#### 4. Reporting Requirements

##### A. Initial Implementation Work Plan

Within 60 days of award, the Recipient will be required to submit a draft detailed work plan for the first year of activities to the USAID/Russia AOTR for review and approval (an electronic copy only). The AOTR must provide written comments on the draft plan within three weeks of receipt and when the plan is finalized, the AOTR will provide written approval.

The work plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the recipient should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets (e.g., number of persons to be trained, topics of the trainings, etc); and 5) a timeline for the implementation of the task.

The initial work plan must include the recipient's proposed Award Monitoring Plan, which must address program results, provide a description of indicator evaluation criteria and the methodology for data quality assurance and establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established. The Recipient will be expected to provide indicators that will measure the quality, not just the quantity, of peer-to-peer linkages supported by the program. USAID/Russia and the Recipient will agree upon benchmark measures and indicators of progress toward achieving project goals.

### B. Annual Implementation Plan

Annual implementation plans for subsequent years are due to the AOTR 30 days before the end of the preceding award year (in electronic format). The implementation plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the Recipient should 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) outline any special issues that the recipient will target for that year; 4) assign responsibilities for completing those steps; 5) provide any quantitative or qualitative targets (e.g., number of persons to be trained); and 6) a timeline for the implementation of the task.

### C. Performance Reporting

Quarterly performance reporting will be required under any award made hereunder. The performance reports must contain, among other things, report on annual and life-of-project results when applicable. The Recipient will collect performance indicator(s) data contributing to Mission reporting on these Strategy elements. The Recipient will also be required to report mandatory output level (F) indicators, to be determined in coordination with the AOTR (Agreement Officer's Technical Representative) and incorporated in the Award Monitoring Plan.

It is expected that the Recipient will collect performance indicator(s) data contributing to Mission reporting on the strategy elements outlined in Section E of this document. The Recipient will also be required to report mandatory output level (F) indicators including:

- Number of journalists (media professionals) trained with USG assistance (sex disaggregated).
- Number of non-state media outlets assisted by USG;

Other illustrative indicators may include:

- Increased number of new media sources Russians use to obtain information on key social issues;
- Number of users and/or readers of available web-resources;
- Share of citizen-generated content in media outlets' products;
- Number of media professionals trained in multi-media skills;

- Revenues after establishing and using new media platforms;
- Number of open web-based discussions on key social issues;
- Number of new websites established by beneficiary media outlets;
- Number of citizens creating content and/or providing feedback and input to existing on-line informational platforms.

Baseline data must be finalized no later than 180 days after the award is made. All person-level indicators must be disaggregated by gender.

## **5. Authorized Geographic Code**

The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

“The authorized Geographic Codes for procurement of goods and services under the proposed award are 000 (United States) and 110 (NIS or Newly Independent States). The countries of Eastern Europe are not included in these Geographic Codes.”

As provided for in 22 CFR 228.02, the criteria for source and origin waivers for assistance provided under the FREEDOM Support Act are stated in section 498B(h)(2) of the Foreign Assistance Act of 1961, subject to any further restrictions imposed by agreement or regulation. The basic criteria in section 498B(h)(2) are: (A) the provision of the assistance requires commodities or services of a type that are not produced in and available for purchase in any country specified in the authorized Geographic Codes; or (B) that procurement in another country is necessary to meet unforeseen circumstances -- such as emergency situations -- where it is important to permit procurement in a country not specified in the authorized Geographic Codes, or to promote efficiency in the use of United States foreign assistance resources, including to avoid impairment of foreign assistance objectives. An additional requirement for waivers of type (A) to countries in a Code not included in Code 941 is that the commodities or services are also of a type that are not produced in and available for purchase in any country specified in Code 941.

Applicants must ensure that all proposed services and commodities procurements meet the abovementioned source, origin and nationality requirements. If services, including consultants and trainers, or commodities not complying with Geographic Codes 000 or 110 are to be procured, applicants must request and justify a waiver and the need for such waiver(s) must be noted in the business management proposal. All waivers must be approved by the USAID/Russia Mission Director.

These authorities were expanded by a worldwide waiver signed November 24, 2010, which authorizes, inter alia, local procurement of commodities of 935 origin (excluding foreign policy-restricted countries), up to \$5 million per award. The \$5 million limit includes procurement under all subawards. This waiver does not waive any other restrictions that may apply to commodities. Additional information on this waiver may be obtained from the Agreement Officer

## 6. Environmental Requirements

The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

“The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID’s Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient’s environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this award.

In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. Where USAID requirements are more stringent than host country requirements, the Recipient shall comply with the USAID requirements.

An environmental threshold determination, as defined by 22 CFR 216, has been reached for the program funded under this award, as documented in a Request for Categorical Exclusion (RCE), duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”) No further environmental review is required unless the Recipient proposes changes to the activities specified in the Request for Categorical Exclusion. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it must notify the Agreement Officer in advance and in writing and it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written notice from the Agreement Officer of environmental documentation amendments. Examples of common situations which require additional environmental review include but are not limited to: activities which involve generation, handling or disposal of medical waste, refurbishment (painting, retrofitting, etc.), renovation or construction of facilities; rehabilitation or construction of infrastructure; and agricultural activities.

As part of its initial work plan, and all annual work plans thereafter, the Recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation. A brief statement describing how the grantee ensures that program activities comply with these terms should be included in performance reports.

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

## 7. Branding and Marking

The following provisions are applicable to this RFA and will be incorporated into any award made hereunder:

### A. BRANDING STRATEGY - ASSISTANCE (December 2005)

#### 1. Definitions

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

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

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

#### 2. Submission.

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

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

#### (a) Positioning

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

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

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

Note: the Agency prefers "made possible by (or with) the generous support of the American" instead of the phrase "funded by." USAID prefers local language translations.

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

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

#### (b) Program Communications and Publicity

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

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

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

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

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

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

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

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

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

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

(c) Acknowledgements

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

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

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

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

(d) Award Criteria.

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

**B. MARKING PLAN – ASSISTANCE (December 2005)**

1. Definitions

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

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

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

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

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

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

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

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

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

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

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

## 2. Submission Requirements

The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and

negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

The Marking Plan shall include the following:

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

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

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

b. A table specifying:

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

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

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

c. A table specifying:

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

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

3. Presumptive Exceptions:

a. The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why,

in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

b. Specific guidelines for addressing each Presumptive Exception are:

- (i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.
- (ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.
- (iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.
- (iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.
- (v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.
- (vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.
- (vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

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

4. Award Criteria

The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and

reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

**C. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)**

1. 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.

## 2. Marking of Program Deliverables

- a. 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.
- b. 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.
- c. 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.
- d. 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.
- e. 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.
- f. 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.
- g. 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.
- h. The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

- i. 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.”*

- j. 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.”*

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

### 3. Implementation of marking requirements.

- a. 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.
- b. 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 [**Agreement Officer fill-in**] 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,
- c. 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.
- d. 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 in this provision.

#### 4. Waivers

- a. 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.
- b. 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.
- c. Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

- d. 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.
- e. 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.

#### 5. 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 VII – AGENCY CONTACTS**

Charles S. “Chuck” Pope, Agreement Officer  
American Embassy Moscow  
U.S. Agency for International Development  
Novinsky Boulevard 19/23  
121099 Moscow  
Russian Federation

Tel: (7-495) 728-5000

Fax: (7-495) 960-2140

[cpope@usaid.gov](mailto:cpope@usaid.gov)

## **SECTION VIII – OTHER INFORMATION**

### **Applicable Regulations & References**

**<http://www.usaid.gov/pubs/ads/300/303maa.pdf>**

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:

**<http://www.usaid.gov/policy/ads/300/303mab.pdf>**

- 22 CFR 226

**[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)**

- OMB Circular A-122

**<http://www.whitehouse.gov/omb/circulars/a122/a122.html>**

- OMB Circular A-110

**<http://www.whitehouse.gov/omb/circulars/a110/a110.html>**

- ADS Series 300 Acquisition and Assistance

**<http://www.usaid.gov/pubs/ads/>**

- SF-424 Downloads

**[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)**

**ANNEX A**

**U.S. Agency for International Development**

**PART I**

**CERTIFICATIONS AND ASSURANCES**

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

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

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d) , which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which 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.

**Signed:** \_\_\_\_\_

**(Typed Name and Title)**

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

**2. CERTIFICATION REGARDING LOBBYING**

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Statement for Loan Guarantees and Loan Insurance**

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

**Signed:** \_\_\_\_\_  
(Typed Name and Title)

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

### 3. CERTIFICATION REGARDING TERRORIST FINANCING

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

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

assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

- b. “Terrorist act” means-
- (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
  - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
  - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
(Typed Name and Title)

**4. CERTIFICATION OF RECIPIENT**

The recipient certifies to the best of its knowledge and belief all of the above and that it has reviewed and is familiar with the proposed grant format and the provisions and regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

As applicable:

Grant/Agreement No.: \_\_\_\_\_

Solicitation No.: \_\_\_\_\_

Application/Proposal No.: \_\_\_\_\_

Date of Application/Proposal: \_\_\_\_\_

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

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

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

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

**PART II**

**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:

<u>Name</u>	<u>Title</u>	<u>Telephone Number</u>	<u>Facsimile Number</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**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 applicant's/grantee's TIN:

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

**3. CONTRACTOR IDENTIFICATION NUMBER -DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

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

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

- (1) Recipient's name.

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

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at

<http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](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. 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 non-governmental 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 U.S. entity, it  is,  is not a Gray Amendment entity, as defined below.

(c) If the recipient is a Gray Amendment Entity, it is  a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101),  an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU),  a college or university having a student body in which more than 40% of the students are Hispanic American, or  a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).

(d) 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.

**6. PAST PERFORMANCE REFERENCES**

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

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**7. OMB CIRCULAR A-133 OR SIMILAR AUDITS**

If applicable, please provide the date of your most recent A-133 or similar audit, including findings and results of such audits.

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**8. PROCUREMENT INFORMATION**

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

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

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment, which would require the approval of the Grant Officer, please indicate below

(using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Non-expendable equipment for which the Grant 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.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>

(d) Source, Origin, and Component 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% component entry 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 does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Source of Goods</u>	<u>Probable Components</u>	<u>Origin of Goods</u>

(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.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Intended Use</u>	<u>Probable Source</u>	<u>Origin</u>
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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.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Supplier Nationality (Non-U.S. Only)</u>	<u>Rationale for Non-U.S.</u>
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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.

<u>Type/Description (Generic)</u> <u>Disposition</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>	<u>Proposed</u>
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**- END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF  
RECIPIENT -**

## ANNEX B

### **SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

Applicability: All RFA's must include the 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.)*

**PLEASE REFER TO AAPD 04-08 - "Ensuring Equal Opportunity for Faith-Based and Community Organizations" At The Following Website:**

**[http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd04\\_08.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf)**