



# USAID | AFGHANISTAN

FROM THE AMERICAN PEOPLE

**Issuance Date:** March 23, 2011  
**Closing Date:** May 5, 2011  
**Closing Time:** 12:00 Noon Kabul Time

To: All Interested Offerors

Subject: Request for Application RFA 306-11-0024, Afghanistan Civilian Assistance Program II (ACAP II)

Dear Offerors:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission, Afghanistan, is seeking application from qualified interested offerors for the program called Afghanistan Civilian Assistance Program II (ACAP II), subject to the availability of funds as described in the following Request for Applications (RFA).

Subject to the availability of funds as described in the Request for Application (RFA), USAID intends to provide approximately \$64,000,000.00 in total USAID funding to be allocated over a three year period of the resultant Cooperative Agreement. USAID reserves the right to fund any or none of the applications submitted.

This RFA consists of this cover letter and the following:

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

U.S. Agency for International Development U.S. Embassy Cafe Compound Great Masood Road Kabul, Afghanistan	Tel: [+93] 20 230 0436 Fax: [+93] 20 230 1364 <a href="http://afghanistan.usaid.gov/">http://afghanistan.usaid.gov/</a>	
--	---	--

If you decide to submit an application, it must be received by the closing date and time indicated at the top of this cover letter through email submission to Kabul USAID OAA Mailbox at [kabulaidoamailbox@usaid.gov](mailto:kabulaidoamailbox@usaid.gov) with a cc to Maya Chelidze, Sr. Acquisition and Assistance Specialist at [mchelidzetdy@usaid.gov](mailto:mchelidzetdy@usaid.gov) . To make sure that your applications are delivered to us, please ensure that your email attachments are not more than 10 MB in size. If they are more than 10 MB in size you may submit your technical/cost applications and any attachments in separate emails.

Any questions concerning this RFA shall be submitted in writing to Robert P. Schmidt Jr., Agreement Officer at [RSchmidt@usaid.gov](mailto:RSchmidt@usaid.gov) with cc to Maya Chelidze, Sr. Acquisition and Assistance Specialist at [mchelidzetdy@usaid.gov](mailto:mchelidzetdy@usaid.gov), and Shoja A. Mateen Acquisition and Assistance Specialist, at [MateenSA@usaid.gov](mailto:MateenSA@usaid.gov).

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

**Therefore, questions should be submitted no later than Wednesday, April 6, 2011, 12:00 Noon Kabul time.**

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.

Sincerely,

Robert P. Schmidt Jr.  
Agreement Officer  
USAID, Afghanistan

<b>SECTION I - FUNDING OPPORTUNITY DESCRIPTION .....</b>	<b>3</b>
<b>AFGHAN CIVILIAN ASSISTANCE PROGRAM II (ACAP II).....</b>	<b>3</b>
<b>A. PROGRAM DESCRIPTION .....</b>	<b>3</b>
1. <i>Executive Summary</i> 3	
2. <i>Background</i> 4	
3. <i>Analysis and Issues on Civilian Casualties</i> 6	
4. <i>Related Programs</i> 9	
5. <i>Links to USAID's Strategy and Results Framework</i> 11	
6. <i>Critical Assumptions and Risks</i> 12	
7. <i>Program Description and Intermediate Results</i> 13	
8. <i>Geographic Focus</i> 14	
9. <i>Collaboration with Counterparts</i> 15	
10. <i>Management and Staffing</i> 16	
11. <i>Monitoring and Evaluation</i> 17	
12. <i>Reporting</i> 18	
13. <i>Information Sharing</i> 19	
14. <i>Substantial Involvement</i> 20	
<b>B. AUTHORIZING LEGISLATION.....</b>	<b>21</b>
<b>C. PROGRAM ELIGIBILITY REQUIREMENT.....</b>	<b>22</b>
<b>D. AWARD ADMINISTRATION.....</b>	<b>22</b>
<b>E. APPLICABILITY OF 22 CFR PART 226 (MAY 2005).....</b>	<b>22</b>
<b>SECTION II – AWARD INFORMATION.....</b>	<b>23</b>
<b>A. ESTIMATE OF FUNDS AVAILABLE .....</b>	<b>23</b>
<b>B. NUMBER OF AWARDS CONTEMPLATED .....</b>	<b>23</b>
<b>C. START DATE AND PERIOD OF PERFORMANCE.....</b>	<b>23</b>
<b>D. TYPE OF AWARD.....</b>	<b>23</b>
<b>SECTION III – ELIGIBILITY INFORMATION .....</b>	<b>24</b>
<b>A. APPLICANTS .....</b>	<b>24</b>
<b>B. COST SHARE.....</b>	<b>24</b>
<b>SECTION IV – APPLICATION AND SUBMISSION INFORMATION.....</b>	<b>25</b>
<b>A. POINT OF CONTACT .....</b>	<b>25</b>
<b>B. REQUIRED FORMS.....</b>	<b>25</b>
<b>C. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT .....</b>	<b>25</b>
<b>D. APPLICATION PREPARATION AND SUBMISSION GUIDELINES: .....</b>	<b>26</b>
<b>E. TECHNICAL APPLICATION FORMAT .....</b>	<b>27</b>
<b>F. COST/BUSINESS APPLICATION FORMAT .....</b>	<b>33</b>
<b>SECTION V – APPLICATION REVIEW INFORMATION.....</b>	<b>38</b>
<b>A. EVALUATION CRITERIA .....</b>	<b>38</b>
<b>B. BRANDING STRATEGY AND MARKING PLAN .....</b>	<b>42</b>
<b>C. AWARD.....</b>	<b>43</b>
<b>SECTION VI – AWARD AND ADMINISTRATION INFORMATION.....</b>	<b>44</b>
<b>A. ROLES AND RESPONSIBILITIES.....</b>	<b>44</b>
<b>B. ACTIVITY PERFORMANCE MANAGEMENT PLAN AND REPORTING .....</b>	<b>44</b>
1. <i>Performance Monitoring and Evaluation System</i> 44	
2. <i>Reporting Requirements</i> 44	
3. <i>Gender Requirements</i> 45	
4. <i>Database Reporting Requirements</i> 46	

<b>SECTION VII – AGENCY CONTACTS.....</b>	<b>47</b>
<b>SECTION VIII – OTHER.....</b>	<b>48</b>
A.    BRANDING STRATEGY – ASSISTANCE (DECEMBER 2005).....	48
B.    MARKING PLAN – ASSISTANCE (DECEMBER 2005).....	50
C.    MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (DECEMBER 2005) .....	54
D.    PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010) .....	59
E.    PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE – THE GLOBAL FUND TO FIGHT AIDS, TUBERCULOSIS AND MALARIA, THE WORLD HEALTH ORGANIZATION, THE INTERNATIONAL AIDS VACCINE INITIATIVE, AND ANY UNITED NATIONS AGENCY) (APRIL 2010).....	61
F.    ANNEXES .....	<u>62</u> <del>61</del>

## SECTION I - FUNDING OPPORTUNITY DESCRIPTION

### Afghan Civilian Assistance Program II (ACAP II)

#### A. Program Description

##### 1. Executive Summary

The Afghan Civilian Assistance Program II (ACAP II) will assist Afghan families and communities suffering losses from military operations against the Taliban and other insurgent groups.

ACAP II is a follow on program to the original ACAP activity, expires in September 2011. The original ACAP supports Afghan civilian families and communities that have suffered losses as a result of the being caught between fighting among ISAF troops and the Taliban and anti-government elements (AGEs), dating back to October 2001 when American-led military operations began. The focus of the program, known as the Leahy Initiative, provides tailored, relatively small-scale assistance packages to eligible families. There are no cash disbursements; ACAP provides assistance based on family needs.

ACAP II will continue to build upon the success of ACAP. The armed conflict has increased dramatically in recent years and the U.S. Forces in Afghanistan (USFOR-A), International Security Assistance Forces (ISAF), and the Afghan National Security Forces (ANSF) have intensified their operations against the Taliban and other insurgent groups. This increased level of violence has resulted in a higher number of civilian families and communities suffering losses. ACAP II will provide appropriate assistance to those who have suffered losses as a direct or indirect result of military operations. This 36 month, \$64 million activity is nationwide, with a robust focus where there is the most combat and the largest concentration of military forces. USAID anticipates ACAP II to begin on August 1, 2011 and will have a two-month transition period and overlap with ACAP, during which time ACAP will also continue their close out process through September 30, 2011 when the award ends.

In collaboration with the Ministry of Labor, Social Affairs, Martyrs and Disabled, or MoLSAMD, ACAP II will find the best ways to assist eligible Afghan families and provide them with assistance to restore their lives after a traumatic event. ACAP II will ensure the provision of essential assistance for eligible Afghan civilian families and communities available through other assistance, relying as needed on ACAP II to either supplement or fill the gaps in assistance. The program will not provide compensation, condolence payments or cash assistance. Moreover, the program will refer civilian victims to USAID and other donors programs to help families in different circumstances rebuild their lives. ACAP II will facilitate coordination of programs, systems and processes to ensure the efficient and timely delivery of assistance from all available resources. ACAP II will also facilitate the proactive collaboration of relevant local

government and traditional governance structures to increasingly lead and coordinate the overall assistance effort to families.

ACAP II funds are provided by annual congressional earmarks specified to assist Afghan civilian victims harmed by military operations. Assistance to Afghan civilians will be provided regardless if the loss was incurred due to military forces targeting the Taliban and other insurgent groups involved in the armed conflict or due to Taliban and other insurgent groups targeting military forces. Military forces include all foreign soldiers of ISAF as well as USFOR-A. ACAP II is a 'no-fault' program. To assist Afghan civilians who have been harmed, it is not required by ACAP to know the reason for the incident and the persons responsible, whether military forces or the Taliban and other insurgent groups.

## **2. Background**

### **i. Afghanistan National Development Strategy (ANDS) and Related Efforts**

On April 21, 2008, President Hamid Karzai approved the Afghanistan National Development Strategy (ANDS): A Strategy for Security, Governance, Economic Growth and Poverty Reduction, for the five year period of 2008 through 2013. The ANDS places "war survivors" as one of two priority groups to receive improved social services and social services delivery. Improving social protection is vital to reducing poverty and increasing the livelihood of Afghans.

The Consultative Peace Jirga of June 2010 produced a mandate to adopt a "whole of government" approach, the essence of which is structural reform to create an effective, accountable and transparent government that can deliver services to the population and safeguard national interests. The first international conference in Afghanistan, convened on July 20, 2010, recognized that civilian casualties are of great concern to Afghan civilians and the Afghan government, and the Afghan and international military forces are committed to reducing civilian casualties.<sup>1</sup>

The Afghan Constitution obliges the Government to support the poor and most vulnerable. The National Social Protection Sector Strategy supports efforts to deliver coordinated programs and improve social protection. MoLSAMD is responsible for labor affairs, social protection and welfare and provides services to the poor and most vulnerable. The Minister of MoLSAMD is a member of the Human Resource Development (HRD) Cluster grouping of ministries. HRD members also include the Minister of Education (MoE), Ministry of Higher Education (MoHE), Ministry of Women's Affairs (MoWA) and Ministry of Public Health (MoPH). "The HRD Cluster provides an inter-ministerial forum for instituting systematic improvements and is

---

<sup>1</sup> Kabul Conference Communique, "Kabul International Conference on Afghanistan," July 20, 2010, available at: <http://www.afghanistan-un.org/2010/07/international-conference-on-afghanistan-kabul-20-july-2010/>.

working at the policy level to find effective and creative ways to enable Afghans to more fully contribute to society, both socially and economically. The HRD Cluster is organized around the shared belief that the government, private sector, and civil society should work together to form a coherent approach to the development of human resource capacity.”<sup>2</sup>

ii. U.S. Government’s Strategic Approach

The Afghanistan and Pakistan Regional Stabilization Strategy outlines the U.S. government’s (USG) strategy for supporting the Afghan and Pakistani Governments’ efforts to defeat the extremist threat.<sup>3</sup> The strategy includes job creation to undermine extremists’ appeal and governance to help develop more responsive, visible and accountable institutions. The USG recognizes the importance of security, governance, and development in establishing stability at the provincial and district levels where Afghan government officials are in closer contact to their constituents. Wherever possible, USAID’s programs, in partnership with sub-national level officials, will align/re-align to support, augment, or fill gaps in the Government of the Islamic Republic of Afghanistan’s (GIRoA) delivered basic services (in line with national service guidelines).

Consistent with broader USG development goals and to consolidate gains to support Afghanistan’s sustainable development, USG is deliberately linking short-term stabilization programs with complementary medium- and long-term development programs. One particularly important implication of USG’s partnership in Afghanistan is to reinforce the necessity of working to the greatest extent possible through existing structures and systems, rather than building or establishing new ones.

iii. USAID’s Stabilization Strategy

USG stabilization programming contributes in the short- and medium-term to political and social stabilization, social cohesion, and better governance - all essential to enable areas cleared by military operations to be held securely and sustained, denying insurgents the possibility of drawing support from the local populace. The USAID Administrator’s Guidance on Stabilization, January 29, 2011 provides broad direction on how USAID will conduct its stabilization work in Afghanistan, included as Annex A.

USG’s stabilization programs seek to address and help reduce key sources of instability (SOIs) by engaging and supporting at-risk populations, extending the reach of GIRoA to

---

<sup>2</sup> Kabul International Conference on Afghanistan, July 20, 2010, “Afghan National Development Strategy, Prioritization and Implementation Plan, Mid 2010 – Mid 2013, Volume I”, p 32, available at: <http://www.mfa.gov.af/kcs/ANDS%20PIP%20Vol%201%20-%20English.pdf>.

<sup>3</sup> Office of the Special Representative for Afghanistan and Pakistan, “Afghanistan and Pakistan Regional Stabilization Strategy,” February 2010, available at: <http://www.state.gov/documents/organization/135728.pdf>.

unstable areas, providing income generation opportunities, building trust between citizens and their government, and encouraging local populations to take an active role in their development. USG stabilization programs also support recently stabilized communities to sustain community stability and development. Interventions addressing the causes of instability vary by locality. Broadly defined they can be: (1) quick-impact to resolve immediate conditions that threaten stability in a targeted area, and/or; (2) designed to reinforce and sustain initial gains with transition to longer-term programs. The majority of stabilization activities are implemented at the sub-national level to address SOIs and build GIRoA capacity and legitimate Afghan governance at the community, district and provincial levels. The end objective is to establish a stable environment that fosters sustained social and economic development.

### 3. Analysis and Issues on Civilian Casualties

There were 2,777 civilians deaths in 2010, an increase of 15 per cent compared to 2009, many who were killed and injured in their homes and communities in even greater numbers as recorded by the Afghanistan Independent Human Rights Commission and UNAMA Human Rights. In 2010, 4,343 conflict related civilian injuries increased by 22 per cent compared to 2009. The most alarming trend in 2010 was the huge number of civilians assassinated by Anti-Government Elements (AGEs). Four hundred and sixty two civilians were assassinated representing an increase of more than 105 per cent compared to 2009. Half of all civilian assassinations occurred in southern Afghanistan. The overall rise in civilian deaths in 2010 can be attributed to the increased use of IEDs and targeted assassinations by AGEs and intensified military operations particularly in southern Afghanistan. Although the majority of fighting in 2010 occurred in the southern and southeastern regions, the insecurity and volatility of the conflict continued to spread to the northern, eastern and western regions. All regions, apart from the eastern region experienced major increases in the number of civilians killed compared to 2009.<sup>4</sup>

The conflict continued to have a devastating impact on women and children. More women and children were killed and injured than in 2009. Women casualties increased by six per cent and child casualties increased by 21 per cent from 2009. Not only did women and children casualties' increase in 2010, the spread and intensity of the conflict meant that more women and children had even less access to essential services.<sup>5</sup>

Civilian casualties have been a significant point of contention between President Karzai and international military forces over the course of the ten year armed conflict since the ousting of the Taliban in 2001. This issue has negatively impacted the Afghan perception of international military forces when no recognition or help is provided after civilian casualties and property loss. The Afghan population expects support to the civilian

---

<sup>4</sup> UNAMA Human Rights, "Annual Report 2010, Protection of Civilians in Armed Conflict, March 2011, i-ii, available at: <http://unama.unmissions.org/Default.aspx?tabid=4652>.

<sup>5</sup> UNAMA Human Rights, loc.cit.

victims for the harm done in the course of operations. “Civilian casualties risk driving Afghans to participate in violence out of a desire to avenge harm done to family and friends per the Pashtun social code (Pashtunwali). Findings validated by the National Bureau of Economic Research’s Working Paper provide strong evidence for a revenge effect, citing that local exposure to ISAF generated civilian casualties fuel increased insurgent violence over the long-run. Matching districts with similar past trends in violence show that counterinsurgent operation generated civilian casualties from a typical incident are responsible for six additional violent incidents in an average size district in the following six weeks.”<sup>6</sup> “Greater violence against civilians by the Coalition predicted higher levels of attacks, while greater violence by insurgents has no such effect.”<sup>7</sup>

Assistance is urgently needed to alleviate the suffering shortly after being affected by an incident and to minimize the longer term impact on families. The vulnerability of civilian armed conflict affected victims is exacerbated by their individual circumstance. Being already resource poor, they frequently lack the means to overcome the additional hardship imposed by the military operation. The adverse affects of these armed conflict related incidents on families must be promptly addressed to impede AGE recruitment, advance stabilization, and secure the gains of traditional development programs. Assisting eligible victims provides an important opportunity to connect them to GIRoA.

The following are key issues that arise when civilian victims are overlooked, or cause victims to receive help too little or too late:

i. Services to Families and Communities

The social and internal affairs of a community and the sense of responsibility and duty to family are embodiments of what keeps Afghan tribes and communities in union with each other. Social and economic ramifications reverberate through a community when community leaders, medical practitioners, educators, multiple families, or women and children are lost or injured. The impact of the armed conflict has serious consequences for the stability of communities. Afghan civilians who have lost a family member or who have been injured in the conflict are often in desperate need of immediate medical assistance, ongoing medical treatment, and access to livelihood opportunities to rebuild their lives. Medical care facilities in Afghanistan are overwhelmed with the number of injured, which means limited free or subsidized treatment. The high costs of immediate and ongoing medical treatment forces families to sell personal belongings and property and take out loans to pay for medical bills. This places a huge burden on the family already experiencing a loss in livelihood support and income.

These vulnerable groups, such as conflict affected widows and the injured and disabled, struggle socially and economically. If a rural Afghan woman is not taken in by her

---

<sup>6</sup> National Bureau of Economic Research, “The Effect of Civilian Casualties in Afghanistan and Iraq, Working Paper 16152,” July 2010, available at: <http://www.nber.org/papers/w16152>.

<sup>7</sup> Ibid, p. 22.

deceased husband's brothers or other family members, she becomes vulnerable and is often unable to support her family. It is important to recognize such factors as women's stabilizing influence on children and youth must be protected to the extent possible. An injured civilian's ability to support the household is often reduced or eliminated as a result of his or her injuries. Civilians living with a disability require accommodations and face stigmas against holding a job, going to school or marrying. The network for those with disabilities are limited although Afghan and international organizations are providing some broad support. This all presents challenges for victims throughout the rest of their lives. These victims need immediate assistance and access to social services and livelihood opportunities.

Families also sustain damage to personal property, such as family homes, crops and businesses. Lack of resources to restore their losses further contributes to the emotional costs on families. Civilian buildings, such as schools, market places and medical care facilities can be targets, adversely affecting the delivery of basic services. The continuing fear and terror, intimidation and insecurity associated with the conflict further destabilizes communities. Struggling families and communities need immediate and assistance that links families to other resources rather than only one time, isolated intervention to rebuild their lives.

ii. Services Delivery Response Time

Afghans expect recognition of and assistance for their losses immediately or soon after an incident. The process of identifying eligible civilian victims and putting together tailored assistance packages is difficult and time intensive, and adds to the delay in delivering aid. Services are limited in high-conflict districts and remote locations, in part due to the absence of government offices in many districts. Road closures also hinder the transport of short term assistance or ability to reach the affected village. MoLSAMD is building partnerships with Afghan non-governmental organizations (NGOs) to facilitate delivery of social services in the absence of or to enhance Afghan government services in the districts.

iii. Stakeholder Coordination and Collaboration

There is a general lack of coordination with victim assistance mechanisms and assistance programs supported through the international community and international military forces. Investigations into incidents are sometimes ad hoc and apply different methodologies, criteria and procedures for gathering the information. Some investigations of an incident involve investigative teams of civil and security units gathering at the provincial level and the cross-checking of information and analysis information from a number of sources. This results in victims being repeatedly identified on lists, falling through the cracks and not receiving all assistance available to them. Poor monitoring systems also contribute to inflated or fabricated claims from civilian victims. A system to effectively track civilian casualties and assistance delivered will help to identify victims and accurately determine eligibility and appropriateness of

assistance. Coordination and sequencing of interventions with other programs will enhance consistency of assistance and uniformity of programming and improve the overall effective use of assistance from all available resources.

iv. Community Outreach and Advocacy

Families and community leaders are not always aware of assistance available to them and how to access that assistance. Provincial and district officials do not have a permanent presence in the areas where there is more frequent fighting to refer civilians to any assistance available. For security reasons or fear of retaliation, it may not be possible for civilians to access assistance or for investigative teams to engage with community and tribal leaders to identify victims. When information is collected from local leaders, there could be political and tribal biases which may hinder genuine civilians from receiving assistance. Flexible approaches are needed to facilitate the information flow from civilian victims, government officials, military and other entities while maintaining information confidentiality on victims. Public outreach to a wider audience and engagement with governance structures will increase transparency and can also reduce the risks that resources will be co-opted by special interests or through corruption, and improve integration with other programs. More transparency could lead to less anger and resentment when the cases of armed conflict related incidents of civilian casualties and property damage are promptly recognized and proactively addressed.

**4. Related Programs**

Consistent with USAID's broader development goals, and in order to guard against waste and diminishing returns, and the creation of unsustainable dependencies, the program will identify ways to link deliberately with stabilization programs with subsequent complementary development programs. GIRA, international and non-governmental organizations (NGOs) and military actors have a range of compensation and assistance programs to support civilian victims and may complement the broader network of emergency relief, humanitarian aid and development programs.

i. USAID's Stabilization Programs

These community-based, stabilization programs have the flexibility to support a targeted response from a less to more stable environment. All programs address sources of instability and grievances by building partnerships with formal and informal, sub-national governance structures to improve delivery of services identified as priorities. These programs can add to the stabilizing effects in a community where ACAP II's beneficiaries reside.

1. Community Development Program (CDP): Direct implementation that uses a community-based system of key infrastructure rehabilitation and other labor-intensive works through 100% utilization of local labor, with direct payments to the laborers. CDP promotes stability through temporary employment and income generation in

targeted populations in 29 provinces to reduce the number of food-insecure and/or unemployed Afghans joining the insurgency. Activities include: the repair of irrigation systems to increase agricultural production, rural farm to market and feeder road construction to improve market access, flood prevention, drainage system rehabilitation, and small-scale water supply system rehabilitation.

2. Community-Based Stabilization Grants (CBSG): Provides grants to community-based organizations or Community Development Councils in 14 targeted provinces in the northern, western and central regions of Afghanistan. The grants enable communities to implement small infrastructure projects, conduct minor repair on public facilities, and procure commodities/equipment for schools, clinics and public meeting halls.
3. Afghan Stabilization Initiative (ASI): ASI implements fast, targeted projects through small activities aimed at fostering and strengthening the links between GIRoA and local populations, emphasizing a process-oriented approach to project identification and implementation. ASI's methodology facilitates community consultation, encourages GIRoA transparency and public outreach, and builds Afghan capacity. ASI is operating in key areas in eastern and southern Afghanistan.

ACAP II may also consider linking to USAID's development programs that will contribute to the overall recovery of a family from an incident, such as:

Skills Training for Afghan Youth (STAY+): Meets education and workforce development needs by working through partnerships with local NGOs and private businesses in six provinces (Kabul, Kandahar, Nangahar, Laghman, Kunar and Helmand). STAY+ offers education and life skills training as well as on-the-job training and apprenticeships in critical emerging industries for highly vulnerable, out of school, and illiterate youth between the ages of 15-24.

ii. Related GIRoA Programs

Three Afghan government mechanisms directly provide monetary support and longer term stipends to civilian victims. The Office of the President has given compensation to affected families through the Presidential Discretionary Fund. Civilians injured under any circumstance of the ongoing conflict -- whether due to coalition military actions, insurgent attacks, or Afghan forces are eligible for this monetary assistance. The Fund for Martyrs and the Fund for the Disabled, administered by MoLSAMD, is similar to a pension system and supports the families of those killed in conflict or by landmines and other explosive remnants of war (who are considered martyrs). Afghan compensation programs are administered by GIRoA and compensate claimants with Afghan government funds.

iii. Related International Military Forces Programs



Components may include measures to increase the capacity of local service NGOs; establish public/private service delivery partnerships as well as family and community focused service models; establish effective referral networks; or improve public understanding and sensitivity to the needs of the vulnerable.

Program Element 3.3.2.2:                   Victims of War  
Remove barriers to enable full participation of victims of war in support communities to be able to provide for themselves and their families after suffering injuries caused by conflict.

The USAID/Afghanistan Performance Management Plan (2011- 2015) provides implementation guidance for ACAP II and is attached as Annex B:

Activity Objective 7:	Stability Sufficient for Basic Governance and Sustainable Development
Intermediate Result 7.1:	Local Sources of Instability in Targeted Areas Addressed
Sub-Intermediate Result 7.1.2:	Community Grievances Resulting from Civilian Casualties Addressed

## 6. Critical Assumptions and Risks

USAID will carefully consider and manage the following aspects to ensure ACAP II's success:

i.    Accountable Assistance

Perceptions of pervasive corruption pose a separate challenge. This issue appears to be widespread throughout Afghanistan and a factor undermining confidence in the government. Shortcomings in oversight mechanisms can occur at virtually any point in the service delivery process. The vetting of beneficiaries and improved project monitoring must span across a broad range of activities. Since USAID's assistance through ACAP II is intended to be provided on an "in-kind" basis (i.e., no cash will be given to beneficiaries), the program's resources would be less vulnerable to being diverted by corruption or extortion or directly or inadvertently supporting adversarial groups. A robust Performance Management Plan would serve to mitigate risks in the implementation of the program. As well, engaging formal and informal authorities will help to increase transparency of assistance delivery.

ii.   Security

ACAP II's activities help prepare the way for future U.S. government's investments by accelerating efforts to address the needs of unstable/vulnerable areas. This assumes that the area or region has been cleared of insurgent and anti-government elements and held by denying the insurgents access and freedom of movement within the given area. There

must be some basic level of sustained security in order to enable project staff to operate, quality assessments to be performed, high-quality, successful projects to be implemented and results to be appreciated by the civilian families and affected communities.

USAID directs stabilization programs to operate in insecure, dynamic environments where success is uncertain, local conditions are highly variable and USAID direct oversight may not be possible, making fiduciary risks pressing issue. USAID also acknowledges the personal and physical risks that USAID and implementing partner staff take every day. The disciplined application of analysis is as critical in a stabilization context. The Recipient shall ascertain and prioritize sources of instability, establish a whole-of-government common operating picture, design a focused set of interventions accordingly, and systematically evaluate measures of progress and impact. See Annex A. Administrator's Stabilization Guidance, page 4

## 7. Program Description and Intermediate Results

**Program Objective:** Ensured Afghan civilians that have suffered losses as a result of military operations against the Taliban and other insurgent groups receive appropriate and timely assistance to recover and rebuild their lives.

### PMP Indicators:

- Number of war-affected families assisted
- Percent of families who report that the tailored assistance provided has helped them to recover and rebuild their lives
- Percent of families who report that the tailored assistance was delivered in a fair and transparent manner

**Intermediate Result 1.0:** Provided appropriate assistance by effectively utilizing all available resources.

### Anticipated Results:

- Families referred to appropriate assistance programs to help them recover.
- Families received non-monetary assistance, essential to the needs of their families in the absence of other programs to fill the gaps in support, to help them recover from the incident.

**Intermediate Result 2.0:** Coordinated systems and processes improved the accuracy and efficient delivery of assistance.

### Anticipated Results:

- Improved service protocols and methods for screening prospective beneficiaries.
- Ensured appropriate response time from incident to first delivery of assistance.

**Intermediate Result 3.0:** Improved local governance participation.

Anticipated Results:

- Families reported perceiving a positive relationship with MoLSAMD.
- Families responded they would approach MoLSAMD to address their essential needs to recover.

**8. Geographic Focus**

ACAP II will be available nationwide. However with limited resources and extremely fluid environment programming resources, flexibility will be required should there be a need to shift resources throughout the life of the program in order to achieve the greatest impact against broader objectives.

USG Regional Platforms										
	East (Bagram, Parwan)		South (Kandahar)		Southwest (Helmand)		West (Herat)		North (Mazar-e Sharif)	
Provinces	Bamiyan Ghazni Nuristan Paktia Parwan Paktika Kapisa Wardak Laghman Logar Nangarhar Panjshir Kunar Khost Kabul		Kandahar Uruzgan Zabul Dai Kundi		Helmand Nimroz		Farah Herat Badghis Ghor		Faryab Jowzjan Balkh Kunduz Badakhshan Samangan Sar-e-Pul Baghlan Takhar	
<b>Total: approx. 490 incidents (Oct 2009 – Dec 2010)</b>	#	%	#	%	#	%	#	%	#	%
Total # and % of incidents as a result of IMF and insurgents documented by ACAP:	205	52	68	17	23	6	45	11	56	14
<b>Total: approx. 1,700 families (Oct 2009 – Dec 2010)</b>	#	%	#	%	#	%	#	%	#	%
Total # and % of eligible families meeting ACAP's criteria:	724	7	318	3	116	1	254	3	257	3

## 9. Collaboration with Counterparts

The Ministry of Labor, Social Affairs, Martyrs and Disabled (MoLSAMD) is the responsible authority for the provision of services for “at risk” and “war survivors” groups, to include civilian victims of the ongoing armed conflict. MoLSAMD is the key partner on ACAP II. The Ministry in Kabul plans to be involved in providing oversight and setting direction determined in collaboration with MoLSAMD and the Human Resource Development (HRD) Cluster grouping of ministries; the district and provincial levels where there is MoLSAMD representation intends to work directly in the provision of assistance and monitoring with the Recipient. MoLSAMD also collaborates with local non-government organizations to provide services in the absence of MoLSAMD representation or other government services at the provincial level.

ACAP II intends to facilitate the coordination of programs, systems and processes to ensure the timely and effective use of assistance from all available resources. In a broader context, the Afghan Independent Human Rights Commission (AIHRC) and United Nations Assistance Mission to Afghanistan (UNAMA) are important stakeholders supporting measures to avoid civilian deaths, injuries and property damage. AIHRC is responsible for promoting, protecting and monitoring human rights in Afghanistan. Eight AIHRC regional and five provincial offices and an office in Kabul actively investigate and report on Afghan civilian casualties. UNAMA’s mandate is to promote coordination of United Nations (UN) and international aid by assisting GIRoA in identifying its priorities and establishing an Afghan-led coordination framework, as well as facilitating the alignment of donor activities to Afghan priorities. The mandate also recognizes the critical importance of monitoring and coordination of efforts to protect civilians and the wider support of human rights, in particular the rights of women and children. UNAMA currently operates regional offices and 15 provincial offices throughout Afghanistan.

Country ownership is a hallmark of effective development. Unless Afghans, particularly rural Afghans have trust in the government and an active role in governance, no stabilization will be achieved. In provinces where Community Development Councils, District Development Assemblies, District Community councils, and other governance structures are functioning, they are important fact finding, decision making and coordinating bodies. These governance structures and stakeholders are avenues in which to raise the level of citizen and community participation and engagement with state structures to better support armed conflict-affected families in their villages. Leveraging state government and traditional governance structures as enablers will contribute to improved systems and procedures to support and facilitate the timely and appropriate delivery of assistance by Afghans to civilians suffering armed conflict related losses. Innovative approaches for program collaboration with MoLSAMD, relevant ministries, local governance structures, and NGOs would enhance the capabilities of these entities. The Recipient is highly encouraged to place their program offices where staff will have regular contact and planning with sub-national level Afghan government offices and communities rather near military bases.

The five U.S. government's regional platforms are critical structures for enhanced program management and oversight. This will ensure the effective execution of integrated and unified stability programs, given the complexity of the multi-agency environment. USAID field staff embedded at USG regional platform structures will work closely with the Recipient to facilitate integration and synchronization of ACAP II assistance with targeted military, USAID and GIRA strategies and interventions.

While Recipient personnel are expected to work at the district and provincial levels, the expectation is that they will not seek to be embedded in or have access to civilian-military bases and its facilities so as to not heighten the burden on these entities and to maintain a distinction between NGOs and the military. NGOs, particularly humanitarian entities need to remain politically neutral. Their ability to deliver assistance comes from the acceptance of the local population rather than protection from armed security guards or the military. No other forms of support: i.e. meals, medical, military air and ground transportation, and internet access are anticipated. Access to military bases and emergency support is arranged only through direct agreement between the Recipient and the respective military facility commander. USAID has no obligation to provide or coordinate support for these types of services.

## **10. Management and Staffing**

The extensive transformation of U.S. civilian assistance activities in Afghanistan to a more focused and effective assistance effort fully integrated across civilian agencies, aims to engage the Afghan people in directly contributing to the development of Afghanistan. A key initiative of the U.S. strategy articulated in the "Afghanistan and Pakistan Regional Stabilization Strategy" is the Afghan First effort which aims to support Afghan leadership and Afghan capacity-building efforts at all levels, with priority given to local procurement and Afghan sustainability. Afghan First is an integral part of ensuring Afghan leadership and increasing Afghan capacity to assume the lead role in the development process.

USAID strongly encourages early identification of alliances with sub-national MoLSAMD representatives, local or regional organizations and NGOs to ensure program success. This will promote successful implementation across the population, without exacerbating instability between urban and rural populations, as well as sub-tribes and social structures. In practice, relying on Afghan organizations and government offices to facilitate initiatives and services may not be possible at the outset, as some of the program activities require expertise not currently abundant in Afghanistan. USAID recognizes that many potential sub-awardees may not have adequate financial and administration systems and the Applicant's approach to managing these activities.

Success can only be achieved in a dynamic and dangerous environment with trained field staff. If capacity exists, program components should be managed by Afghan professionals. Therefore, the program will require a mix of expatriate and local specialists. Initial staff should be chosen on the basis of proven expertise. Any position

filled by an expatriate, however, should have one or more Afghan counterparts who are being trained and mentored so that they can eventually provide or oversee the services necessary to implement the kinds of activities under this program.

The program intends to work closely with MoLSAMD representatives in Kabul and at the district and provincial levels throughout the life of the program, recognizing that it takes time for effective government and confidence-building to take root, and that the less secure the area, the longer and more difficult the process. A decentralized program management approach to the maximum extent practicable enables the program to be responsive and have ongoing, working relationships with sub-national partners.

The changing and challenging security environment requires flexible and responsive mechanisms to the maximum extent practicable. The Recipient must plan to operate independently at all times and have contingency plans in place.

## **11. Monitoring and Evaluation**

ACAP II will be managed by an Agreement Officer Technical Representative, or AOTR designated by the USAID/Afghanistan Office of Acquisition and Assistance. Programmatic authorities will be devolved to the U.S. regional structures to the maximum extent practical under one award, given the importance of bringing the program closer to the Afghan people. Program oversight will be a closely shared responsibility between the AOTR and U.S. regional structures. USAID field staff will be designated as Activity Managers with the responsibility of ensuring ACAP II assistance is targeted, integrated and synchronized with military, USAID and GIRoA strategies and interventions, tracking local level activities being conducted by the Recipient and be the main point of contact for coordinating activities between the local level Recipient staff and international military forces.

Shortcomings in oversight mechanisms can occur at virtually any point in the service delivery process. The vetting of beneficiaries and improved project monitoring must span across a broad range of activities. MoLSAMD representatives in Kabul intends to be involved in setting the direction and oversight of the program; implementation and monitoring at the district and provincial levels to ensure transparency and increasing government accountability throughout the life of the program. USAID field staff will also monitor program implementation.

The Recipient is expected to conduct its own due diligence and monitoring of the program in accordance with the USAID approved Performance and Evaluation Plan.

i. Third Party Monitoring

Since many of civilian casualty incidents take place in remote and insecure areas, it is a challenge for USAID field staff to regularly monitor the assistance. It is anticipated that a third party monitoring mechanism will be awarded by the end of the year to monitor programs, to include monitoring of ACAP II's activities. The information gathered during the monitoring process will be used to understand how the assistance changes over time, adjust and improve the program to drive changes in perception and behavior, and mitigate fraud and corruption. The monitoring reports will also help with reporting and evaluating the successes or failures of the program. USAID will share lessons learned and best practices from ACAP II with other stability programs to help design and implement future stability programs.

## **12. Reporting**

i. Quarterly Reports

The Recipient shall submit to USAID/ACAP II a detailed quarterly report within 30 days of the end of every fiscal year quarter. The reports shall describe major accomplishments of the quarter ending, including actual versus planned results vis-à-vis the annual targets presented in the workplan and monitoring and evaluation plan, and explain any significant deviations from expected results. The reports should also consolidate data from previous quarters in order to present annual totals for numerical targets. The second quarter reports shall assess the program outcomes for the quarter and emphasize combined program outcomes for the 1-2 fiscal year quarters. The fourth quarter reports shall assess the program outcomes for the quarter and emphasize program outcomes for the fiscal year. The quarterly reports should also describe any obstacles faced and how they were (or will be) overcome and project the activities to be carried out in the next quarter. Quarterly reports must include USAID-approved success stories in the approved USAID format. Quarterly reports may be submitted to GIRoA authorities and used for briefings at the U.S. Embassy, Washington and ISAF.

The quarterly reports will contribute to semi-annual performance reviews (also called portfolio reviews). USAID's internal performance reviews not only offer an opportunity to review progress on program implementation, but also the results of the program to ensure annual targets have been met or are on track for being met. Performance reviews take place in the first and third quarter of the fiscal year.

ii. Financial Report

Quarterly financial reports to include expenditures shall be submitted to USAID/ACAP II following the fiscal year quarterly reporting schedule.

iii. Final Report

The Recipient shall submit a detailed final performance and financial report within 90 calendar days after completion of the Agreement, which will include but not limited to:

- basic identifying information, such as program name, award number, approval date, and country assisted;
- the total cost of the program funded by USAID, actual or estimated counterpart contributions, and the best available estimate of other host country or partner resources that contributed to results achievement;
- the principal implementing partner;
- a summary of activities/projects used to implement ACAP II and major outputs;
- qualitatively and quantitatively evaluate the design and impact of ACAP II's value as a stabilization program in the context of the larger USG effort in Afghanistan;
- qualitatively and quantitatively evaluate the impact and effectiveness of ACAP II;
- prospects for long-term sustainability of impact and principal threats to sustainability;
- distill lessons learned for application to other USAID programs, including a follow-on program in Afghanistan and similar programs in conflict affected environments;
- significant changes in the Results Framework during the life of the program, if any;
- a summary of performance indicators used and an assessment of their relative usefulness for performance management and reporting;
- charts and graphs that visually support evaluation of the program;
- a list and Annexes of evaluations and special studies conducted during the life of the program, including Performance Reports; and,
- names and contact point of individuals who were directly involved in various phases of the program (planning, achieving, and assessing and learning), and who would be good sources of additional information.

### **13. Information Sharing**

The demands for performance information are constant and various in a high profile program such as Afghanistan's. The continued public and government outcry over civilian casualties illustrates the importance of enabling families to recover and rebuild their lives with dignity. It is essential that civilian victims receive assistance to alleviate their suffering immediately after an incident occurs. Prompt reporting, immediately or shortly after an incident occurs, will enable ACAP II and other stakeholders to respond in a timely fashion to the incidents and mitigate any other effects arising from the incident.

The changing and complex environment also necessitates an understanding of the terrain in a local context and how support of the population shifts over time. A wide array of tools, incorporating perception surveys, will inform the actions needed to drive changes in perception and behavior, establish baselines and measure impact. ACAP II may require on request briefs and up-to-date information, in addition to the required quarterly reports, to improve integrated civil-military program coordination.

Public outreach to a wider audience in Afghanistan, where appropriate, will increase transparency and can also reduce the risks that resources will be co-opted by special interests or through corruption, as well as improving integration with other programs. This will require increased attention to increasing strategic communications that will include information dissemination on work related activities to all USG actors in Afghanistan and Washington. Public relations work activities such as future activity reports, fact sheets, storyboards, weekly bullets, “success stories”, and lessons learned will elevate the awareness of ACAP II as a visible USG effort. However, the insecure situation warrants nuanced communication approaches to balance security, political and communications goals to favorably influence Afghan population attitudes and behaviors to appreciate the services provided by the USG and GIRoA.

Discussions in Washington regarding appropriations to support Afghanistan’s programs and the presence of USAID’s Office of the Inspector General (OIG) and the Special Investigator General for Afghanistan Reconstruction (SIGAR) in Afghanistan as well as the General and Accountability Office’s keen interest in USG programs in Afghanistan, necessitates the maintenance of appropriate, adequate and accurate documentation to communicate performance and financial results, procedures and processes.

Information regularly shared, in addition to the quarterly reports may include:

- i. Weekly Updates: These updates are program focused and reflect the highlights and lowlights of events and program progress for that week, as well as provide a “forward looking” view of important milestones or events coming up within the program.
- ii. Monthly Status of Assistance Delivery: These reports are designed to keep Activity Managers and the USG regional structures informed of all ongoing program information and results disaggregated by Intermediate Results, along with province and district with GPS coordinates. Additionally monthly program information may be shared with relevant ministries for their continual awareness of how the program is performing.
- iii. Success Stories: These human interest stories reflect past successes and will elevate the awareness of ACAP II as a visible U.S. government and GIRoA supported effort.

#### **14. Substantial Involvement**

USAID/Afghanistan’s substantial involvement in ACAP II will include, but not limited to the following:

- i. Prior approval and any changes of key personnel by the Agreement Officer’s Technical Representative (AOTR);

- ii. Prior approval by the AOTR of a complete Performance Management Plan (PMP) should be submitted within 90 days of the signing of the Agreement, to include an illustrative timeline for the completion of performance management tasks, plans for training staff, reporting and information sharing, and marking and branding;

The Performance Management Plan elements also include, but not limited to:

- Intermediate results and indicators along with targets for each fiscal year;
- Baseline data for conditions at the start of the project;
- Reporting of deliverables against PMP targets and Data Quality Assessment (DQA); and,
- Reporting on armed conflict-affected civilian groups (principal breadwinner, women, youth, etc.) with both PMP indicators and budget/project data.

- iii. Approval by the AOTR of an annual workplan, including a training plan and annual indicator targets, and budget describing all the activities to be funded under the Agreement. The Recipient must submit the first workplan within 90 days from the signing of the Agreement and cover the period through July 31, 2012. The following annual workplan shall be submitted by July 15, 2012 and July 15, 2013. The workplan, which should be prepared based on coordination meetings with USAID, MoLSAMD and other partners, and should include a budget showing key line items. It should also reflect the amount of counterpart contributions to be provided, indicated whether these are cash or in-kind contributions, and what these contributions will cover. Besides a budget, the workplan shall also describe the Recipient's planned activities for the year, including a timeline with relevant milestones indicated, and include expected results, tied to the Recipient's Monitoring and Evaluation Plan. Significant changes by the Recipient to approved annual workplans will require AOTR approval and concurrence of relevant USAID regional structure staff;
- iv. Technical concurrence on the selection of sub-award recipients not already identified in the Applicant's application;
- v. Participation in any MoLSAMD and HRD cluster group steering committee meetings to help guide the overall program implementation; and, participation in monitoring for specific kinds of direction or redirection because of interrelationships with other projects.

## **B. Authorizing Legislation**

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended.

**C. Program Eligibility Requirement**

To be eligible for assistance under the Private Voluntary Organization grant program and other programs listed in 22 CFR 203.1, both U.S. Private Voluntary Organizations and International Private Voluntary Organizations must be registered with USAID, as required by 22 CFR 203. The registration requirement does not apply to local Private Voluntary Organizations.

**D. Award Administration**

22 CFR 226, OMB Circulars, and the Standard Provisions for U.S. Non-governmental Recipients will be applicable for U.S. Non-governmental Organizations. For non-U.S. organizations, the Standard Provisions for Non-U.S., Non-governmental Recipients will apply. While 22 CFR 226 does not directly apply to Non-U.S. Applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. These documents may be accessed through the world-wide-web at:  
<http://www.usaid.gov/business/regulations/>

**E. Applicability of 22 CFR Part 226 (May 2005)**

- The provisions of 22 CFR Part 226 and the Standard Provisions that will be attached to the Agreement upon award 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.
- For any awards or subawards made to Non-US organizations, the "Standard Provisions for Non-US Non-governmental Grantees" shall apply. All Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

[END OF SECTION I]

## **SECTION II – AWARD INFORMATION**

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

Subject to the availability of funds, USAID intends to provide approximately \$64 million in total USAID funding for the life of the program.

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

USAID intends to award one (1) Cooperative Agreement pursuant to this RFA. USAID reserves the right to fund any or none of the applications submitted.

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

The period of performance of the resultant agreement anticipated herein is three years. The estimated start date is on or about August 1, 2011. ACAP II funds will be provided by annual congressional earmarks.

ACAP II will have a two month transition period and overlap with ACAP, during which time ACAP will also continue their close out process through September 30, 2011 when the award ends.

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

USAID plans to award an assistance instrument known as a Cooperative Agreement, or CA. A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer Technical Officer, or AOTR. The intended purpose of the AOTR involvement during the award is to assist the Recipient in achieving the supported objectives of the Agreement.

[END OF SECTION II]

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

#### **A. Applicants**

This is a full and open competition and all interested and qualified U.S Non-Governmental Organizations and Non-U.S Non-Governmental Organizations are encouraged to apply.

#### **B. Cost Share**

Cost sharing is an important element of the USAID-Recipient relationship. In addition to USAID funds, the Applicant is encouraged to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in kind and can include contributions from the NGO, local counterpart organizations, project clients, the Government of the Islamic Republic of Afghanistan (GIROA), or other donors (not other U.S. government funding sources). This may be from program generated funds such as client savings, interest and fees in accordance with USAID standard provisions on cost sharing.

[END OF SECTION III]

## SECTION IV – APPLICATION AND SUBMISSION INFORMATION

### A. Point of Contact

The point of contact for this RFA is:

Robert P. Schmidt, Jr.  
Agreement Officer  
Office of Acquisition and Assistance  
USAID/Afghanistan  
U.S. Embassy East Compound  
Great Massoud Road  
Kabul, Afganistán

Phone: +1 -202- 216-62-88 Ext.: 4739

Email: [RSchmidt@usaid.gov](mailto:RSchmidt@usaid.gov)

Any questions concerning this RFA must be submitted in writing to Robert Schmidt, Agreement Officer at [RSchmidt@usaid.gov](mailto:RSchmidt@usaid.gov), with a cc. to Maya Chelidze, Sr. Acquisition and Assistance Specialist at [mchelidzetdy@usaid.gov](mailto:mchelidzetdy@usaid.gov), and Shoja A. Mateen, Acquisition and Assistance Specialist at [MateenSA@usaid.gov](mailto:MateenSA@usaid.gov) no later than 12:00 Noon Kabul Time, Wednesday, April 6, 2011.

### B. Required Forms

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

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

These forms are available through the following link:

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

### C. Pre-Award Certifications, Assurances and Other Statements of the Recipient

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

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

- A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries;
- A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking;”
- Survey on Ensuring Equal Opportunity for Applicants; and
- All Applicants must provide a Data Universal Numbering System (DUNS) Number.

**D. Application Preparation and Submission Guidelines:**

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

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

Applications shall be submitted in two separate volumes: (a) technical and (b) cost or business application. All Applicants shall submit electronic applications to Kabul USAID OAA mailbox at [kabulaidoamailbox@usaid.gov](mailto:kabulaidoamailbox@usaid.gov) with cc to Maya Chelidze, Sr. Acquisition and Assistance Specialist at [mchelidzety@usaid.gov](mailto:mchelidzety@usaid.gov) . The solicitation number must be quoted in the subject line.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover

page of this RFA. Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below. Applications that are submitted late, incomplete or are considered to be non-responsive to this RFA may be eliminated from further consideration.

Page limitations are specified below for each section; applications must be on letter paper (8-1/2 by 11 inch), single spaced, 12 pitch type or larger in Times New Roman, and have at least one inch margins on the top, bottom and both sides. Responses are to follow the format of the RFA

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, an agreement is awarded to this Applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting 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."

#### **E. Technical Application Format**

The Technical Application shall contain the following sections:

- Cover Page;
- Application Executive Summary;
- Program Narrative;
  - a. Methodology and Plan
  - b. Preliminary Performance Management Plan (PMP)
  - c. Management Capability
  - d. Past Performance
- Attachments

## 1. Cover Page

A single page with the names of the organizations/institutions involved in the proposed application. In the case of a group, please indicate the lead or primary Applicant clearly; followed by any proposed subgrantees and/or recipients (hereafter referred to as “subs”), including a brief narrative describing the unique capacities and skills being brought to the program by each institution. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual’s name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.

## 2. Application Executive Summary

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

## 3. Program Narrative

In twenty (25) pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The narrative should provide a clear description of what the Applicant proposes to do and application's structure should reflect the evaluation criteria listed in Section V:

- Methodology and plan;
- Management capacity; and
- Past performance.

### Methodology and Plan

Methodology for Program Design: The Applicant will describe the program and methodology for achieving the program objective and each of the three critical intermediate results.

Consistent with USG’s broader development goals and to guard against the creation of unsustainable dependencies, the Applicant should consider the following questions:

1. Contribution to Stability – does the assistance program address family and community grievances, instability and promote sustainable peace?

2. Afghan Ownership and Capacity – does the assistance program reflect the development priorities of GIRA, MoLSAMD, the Afghan National Development Strategy, and MoLSAMD ownership of the effort?
3. Affordability and Durability – will Afghans have the capacity to maintain the proposed activities over time so that benefits will continue to accrue beyond the life of the program?

The Applicant will also submit a diagram of proposed program delivery process to include key counterparts, sub-partners, and relevant stakeholders involved which corresponds to the program description to be submitted as Attachment B.

The Applicant should carefully review the Anticipated Results to understand USAID's vision to be creative and innovative in its proposed methodology. The Program Objective, PMP Indicators, Intermediate Results and Anticipated Results may not be revised.

The Applicant shall provide innovative and sound methods that integrate all three Intermediate Results into a cohesive, holistic program that:

1. Fosters collaboration with MoLSAMD representatives, the Human Resources Cluster grouping of ministries, local governance entities, and the military
2. Enables Afghan governance structures to increasingly lead and coordinate program initiatives;
3. Improves systems and processes to facilitate communication and efficiency, and supports transition to Afghan sustainability;
4. Monitoring and evaluation system and process to mitigate fraud and corruption; and,
5. Facilitates opportunities for women, particularly in districts where interventions can support women.

ACAP II funds are provided by annual congressional earmarks specified to assist Afghan civilian victims harmed by military operations. Thus, the program does not envision funds set aside to provide direct technical assistance to build the capacity of MoLSAMD or other Afghan entities as a part of this award. Given the limitations of this earmark, the Recipient will be encouraged to use creativity and innovativeness to address this challenge.

**Intermediate Result 1.0:** Provided appropriate assistance by effectively utilizing all available resources.

**Anticipated Results:**

- Families referred to appropriate assistance programs to help them recover.
- Families received non-monetary assistance, essential to the needs of their families in the absence of other programs to fill the gaps in support, to help them recover from the incident.

**Intermediate Result 2.0:** Coordinated systems and processes improved the accuracy and efficient delivery of assistance.

**Anticipated Results:**

- Improved service protocols and methods for screening prospective beneficiaries.
- Ensured appropriate response time from incident to first delivery of assistance.

**Intermediate Result 3.0:** Improved local governance participation.

**Anticipated Results:**

- Families reported perceiving a positive relationship with MoLSAMD.
- Families responded they would approach MoLSAMD to address their essential needs to recover.

**Preliminary Performance Management Plan (PMP):** The Applicant will complete the Illustrative Table for a Performance Management Plan (Annex C). This PMP will describe the activities, indicators and state the budgets for each Intermediate Result and indicate preliminary calendar of project implementation and planning tasks to generate the data and reports that follows the USG fiscal year, quarterly reporting calendar.

**Management Capacity**

The Applicant is required to provide a full proposal package detailing their:

- 1) Relevant organizational expertise;
- 2) Organizational chart and narrative of what the staff and units are to do;
- 3) Strength of proposed combined personnel's contribution to the coordinated whole; and,
- 4) Mobilization Plan.

**Relevant organizational expertise:** The Applicant shall demonstrate:

- a. sound knowledge and methodology capacity to achieve program results;
- b. sound operational and financial management capacity;
- c. an ability to monitor programs effectively and gather and analyze data on program impact;
- d. experience managing similar stabilization and rural social services delivery programs in armed conflict environments, highly desirable; and,
- e. experience working jointly and facilitating assistance efforts with the military, host government and other relevant stakeholders, highly desirable.

**Organizational chart and narrative:** In responding to this RFA, the Applicant is requested to submit a management/personnel plan organizational diagram, to be submitted as Attachment D and related charts to explain lines of authority and reporting arrangements of their proposed central office and field coordination plan. The Applicant shall demonstrate through their proposed organizational structure and personnel plan how

people and units know what they are to do and when they are to do it to see the relationship what the coordinated whole achieves.

The organizational chart will illustrate:

- a. central office and sub-office locations that maximize coordination and, collaboration with local governance structures and US regional structures;
- b. collaboration and/or partnerships with other organizations from delivery of assistance, resource leveraging to monitoring and evaluation; and
- c. how the organizational structure will make strategic decisions and ability to quickly evolve and respond to changes on the ground.

Strength of personnel plan:

The Applicant shall discuss the organization's key personnel based on their combined qualifications, to be submitted as Attachment E and experience relevant to achieving this program's objectives and results.

USAID does not have any preference as to whether the key personnel are U.S., regional or Afghan staff. Given the size, scope, geographic reach, and complexity of this program USAID expects these key personnel to have the appropriate qualifications and experience to work as a team to manage a complex U.S. government program.

The key personnel specified in the award are considered to be essential to the work being performed hereunder. Prior to replacing any of the specified individuals, the Recipient must notify both the USAID Agreement Officer and AOTR reasonably in advance and must submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the proposal. No replacement will be made by the Recipient without the written consent of the Agreement Officer.

The following five positions are designated by USAID as key personnel:

1. Chief of Party (COP)
2. Deputy Chief of Party/Programming (DCOP)
3. Deputy Chief of Party/Finance and Administration (DCOP)
4. Communications Outreach and Information Sharing Specialist
5. Monitoring and Evaluation/Field Programming Support Specialist

According to ADS 303.3.11.b, USAID's policy limits key personnel to a reasonable number of positions, generally no more than five positions or five percent of Recipient employees working under the award, whichever is greater. The key personnel are expected to fulfill the following illustrative primary responsibilities to ensure quality programming in a fluid, complex operating environment.

Minimum Responsibilities for All Key Personnel Positions:

- Lead for respective position area.

- Ensure implementation of targeted strategies to respond to stabilization priorities as identified by key stakeholders.
- Facilitate collaborative partnerships between MoLSAMD, the Human Resource Development Cluster Grouping of ministries, donors, and relevant stakeholders.
- Ensure that all policies and practices instituted are compliant with USAID's performance monitoring, policy and compliance programming requirements set forth in the USAID Automated Directives System (ADS) and other rules and regulations.
- Provide capacity-building workshops for prime and sub-partner staff to improve performance management.
- Ensure inclusion and ongoing mentoring of ACAP II staff in all program management processes.

Desired Minimum Qualifications for All Key Personnel:

- An undergraduate degree from an accredited university is required. A degree in a field relevant to the position is highly desirable.
- At least 8-10 years of relevant *technical* experience in proposed position in a conflict affected environment.
- At least 8-10 years experience relevant to proposed position on *similar international, donor funded programs*; USG experience highly desirable.
- At least 8-10 years of progressively responsible experience *managing staff* in a conflict affected environment.
- (For Communications Outreach and Information Sharing Specialist position only.) At least 3-5 years of progressively responsible experience *managing staff* in a conflict affected environment.
- Experience directly collaborating with host country government representatives.
- Experience jointly coordinating and collaborating with civil-military-host country stakeholders highly desirable.
- Fluent oral and strong analytical, written English communications skills.
- Demonstrated interpersonal skills including diplomacy, tact, and the ability to negotiate and influence.
- Strong computer skills, including ease and skill in using word Excel spreadsheets, email, the Internet, Windows applications.
- Experience training staff is highly desirable.

The resumes must be no more than two pages each, and the letters of commitment must not exceed a single page each. Applicants are to include in the Annex the resumes and letters of commitment for each individual who will work at least 75% of his/her time on the program. The Recipient must submit signed letter of commitments by the proposed key personnel to work under the resultant contact.

Mobilization Plan: The Applicant shall also submit a mobilization plan to be submitted as Attachment C, with proposed timeframes/benchmarks for training and deploying staff, setting up offices, procuring vehicles and office equipment, and initiating work activities at the national and sub-national levels.

### **Past Performance**

Include a description of all contracts, grants, and cooperative agreements which the Applicant has implemented involving similar or related programs over the past three years with organizations (commercial, governmental, and NGOs). Include the following:

- Agreement (or grant/contract) name and award number (if any), annual amount received for each of the last three years, and beginning and ending dates;
- Performance location;
- Name and address of organization for which the work was performed;
- Current telephone number of responsible representative of the organization for which the work was performed;
- Brief description of the program activity and a summary of results achieved to include:
  - 1) Demonstrated knowledge and experience operating similar or related programs;
  - 2) Demonstrated experience putting in place systems and operational processes to ensure cost controls, transparency and accountability; and,
  - 3) Demonstrated experience collaborating with the military, host government and other relevant stakeholders.

#### **4. Required Attachments to be Submitted by Applicant**

- Attachment A – Preliminary Performance Management Plan
- Attachment B – Program Delivery Process Diagram
- Attachment C – Rapid Mobilization Plan
- Attachment D – Management Plan and Organizational Diagram
- Attachment E – Resumes of Key Personnel and Letters of Commitment from Key Personnel

### **F. Cost/Business Application Format**

The Cost/Business Application is to be submitted 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's policy not to burden Applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that Applicants for assistance awards must submit to USAID prior to award. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary details. The budget shall be submitted in unprotected excel sheet.

1. The Cost/Business Application must be completely separate from the Applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."
2. The Cost/Business Application should be for a period of up to 36 months using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
3. The budget to be presented under the Cost/Business Application should relate to results while also showing the inputs (see item 10, below) for each result. A matrix format will probably be most suitable.
4. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
5. In the case of a group application, the Cost/Business Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the Applicant and its partners, including identification of the Applicant with which USAID will treat for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
6. The required certifications should be included with the cost proposal.
7. The proposed budget should provide cost estimates for the management of the program (including program monitoring and communications and information sharing). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities, particularly to Afghan civilian beneficiaries. Accordingly, those applications with minimal administrative costs may be deemed to offer a "greater value" than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may be deemed to offer a "greater value."

Include a plan containing the main activities of the program. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementers; and (b) time frame, noting estimated dates of completion; and (c) the respective cost. This information would be added onto the Preliminary Annual Workplan requested under the Technical Application, but also including cost.

8. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.

9. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on line items.

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

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

**Travel and Transportation** - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diem should be based on the Applicant's normal travel policies

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

**Indirect Costs** – The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

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

**Seminars and Conferences** - 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.

**Foreign Government Delegations to International Conferences:** Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's

delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference “Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AOTR.

**Source and Origin Requirements** - Code 935 (any area or country including the cooperating country, but excluding foreign policy-restricted countries) is the authorized Geographic Code for procurement of goods and services:

10. Please include information on the organization's financial status and management, including:
  - a. Audited financial statements for the past three years,
  - b. Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
  - c. If the Applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the Applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
  - d. If applicable, approval of the organization’s accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.
  
11. The application should include information that substantiates that the Applicant:
  - a. Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
  - b. Has the ability to comply with the Agreement conditions, taking into account all existing and currently prospective commitments of the Applicant, non-governmental and governmental.
  - c. Has a satisfactory record of performance. In the absence of evidence to the contrary or circumstances properly beyond the control of the Applicant, Applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any

deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer will collect and evaluate data on past performance of Applicants using information from sources provided in accordance with "Past Performance" requirements referenced on page 33.

- d. Has a satisfactory record of integrity and business ethics.
- e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

Applicants may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

- 12. Cost Sharing: Cost sharing is an important element of the USAID' recipient relationship. In addition to USAID funds, Applicants are encouraged to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in kind and can include contributions from the NGO, local counterpart organizations, project clients, the Government of the Islamic Republic of Afghanistan (GIROA), and other donors (not other USG funding sources). This may be from program generated funds such as client savings, interest and fees in line with USAID standard provisions on cost sharing.
- 15. Unnecessarily elaborate applications: unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

[END OF SECTION IV]

## SECTION V – APPLICATION REVIEW INFORMATION

### A. Evaluation Criteria

Proposals will be evaluated according to the following criteria. The relative importance of each criterion is indicated by the number of points assigned. A total of 100 points is possible. Applicants should understand these criteria serve to: (a) identify the significant issues which applicants should address in their proposals and (b) set the standard against which all proposals will be evaluated. The greater the equality of proposals, the more important price becomes in selecting the best value to the U.S. government.

Methodology and Plan	45 points
Management Capacity	25 points
Past Performance	<u>30 points</u>
	100 points

#### **Methodology and Plan – Total 45 points**

##### Subfactor 1.1: Methodology for program design. (10 points)

- a. Innovative and sound methods that integrate all three Intermediate Results into a cohesive, holistic program
- b. Diagram of proposed program delivery process to include key counterparts, sub-partners, and relevant stakeholders involved which corresponds to the program description to be submitted as Attachment B.
- c. Technical understanding of gender issues in Afghanistan for (a) mainstreaming gender throughout planning, implementation and monitoring and evaluation processes, and (b) designing equitable women/gender-focused approaches as needed for different circumstances
- d. Collaboration with MoLSAMD representatives, the Human Resources Cluster grouping of ministries, local governance entities, and the military
- e. Enables Afghan governance structures to increasingly lead and coordinate program initiatives
- f. Improvements to systems and processes to facilitate communication and efficiency, and supports transition to Afghan sustainability
- g. Monitoring and evaluation system and process to mitigate fraud and corruption

##### Subfactor 1.2: Intermediate Result 1.0: Provided appropriate assistance by effectively utilizing all available resources. (10 points)

##### Anticipated Results:

- Families referred to appropriate assistance programs to help them recover.
- Families received non-monetary assistance, essential to the needs of their families in the absence of other programs to fill the gaps in support, to help them recover from the incident.

**Subfactor 1.3: Intermediate Result 2.0: Coordinated systems and processes improved the accuracy and efficient delivery of assistance. (10 points)**

**Anticipated Results:**

- Improved service protocols and methods for screening prospective beneficiaries.
- Ensured appropriate response time from incident to first delivery of assistance.

**Subfactor 1.4: Intermediate Result 3.0: Improved local governance participation. (10 points)**

**Anticipated Results:**

- Families reported perceiving a positive relationship with MoLSAMD.
- Families responded they would approach MoLSAMD to address their essential needs to recover.

**Subfactor 1.5: Preliminary Performance Management Plan (PMP) (5 points)**

The Applicant will complete the Illustrative Table for a Performance Management Plan (Annex C). This PMP will describe the activities, indicators and state the budgets for each Intermediate Result and indicate preliminary calendar of project implementation and planning tasks to generate the data and reports that follows the USG fiscal year, quarterly reporting calendar.

**Management Capacity – Total 25 points**

**Subfactor 2.1: Relevant organizational expertise. (5 points)**

- a. Relevant organizational expertise to design, implement and manage the program. Social services delivery, quick response and/or war victims, USAID/USG funded program experience is highly desirable
- b. Experience coordinating and integrating programs with civil-military-host country stakeholders
- c. Experience working in an armed conflict environment

**Subfactor 2.2: Organizational structure and organizational chart. (5 points)**

- a. Central office and sub-office locations that maximize coordination and collaboration with local governance structures and US regional structures
- b. Demonstrated collaboration and/or partnerships with other organizations from delivery of assistance, resource leveraging, resource sharing to monitoring and evaluation
- c. Integrated and holistic organizational structure to make strategic decisions, monitor, deal with security issues and ability to quickly evolve and respond to changes on the ground

**Subfactor 2.3: Strength of proposed key personnel based on the minimum qualifications and experience. (10 points)**

- An undergraduate degree from an accredited university is required. A degree in a field relevant to the position is highly desirable.
- At least 8-10 years of relevant *technical* experience in proposed position in a conflict affected environment.
- At least 8-10 years experience relevant to proposed position on *similar international, donor funded programs*; USG experience highly desirable.
- At least 8-10 years of progressively responsible experience *managing staff* in a conflict affected environment.
- (For Communications Outreach and Information Sharing Specialist position only.) At least 3-5 years of progressively responsible experience *managing staff* in a conflict affected environment.
- Experience directly collaborating with host country government representatives.
- Experience jointly coordinating and collaborating with civil-military-host country stakeholders highly desirable.
- Fluent oral and strong analytical, written English communications skills.
- Demonstrated interpersonal skills including diplomacy, tact, and the ability to negotiate and influence.
- Strong computer skills, including ease and skill in using word Excel spreadsheets, email, the Internet, Windows applications.
- Experience training staff is highly desirable.

**Subfactor 2.4: Mobilization Plan (5 points)**

The Applicant shall submit a mobilization plan to be submitted as Attachment D, with proposed timeframes/benchmarks for training and deploying staff, setting up offices, procuring vehicles and office equipment, and initiating work activities at the national and sub-national levels.

**Past Performance – Total 30 points**

Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the Applicant. USAID will utilize existing databases of Applicant performance information and solicit additional information from the references provided in Section IV of this RFA and from other sources if and when the Agreement Officer finds the existing databases to be insufficient for evaluating an Applicant's performance.

If the performance information contains negative information on which the Applicant has not previously been given an opportunity to comment, USAID will provide the Applicant an opportunity to comment on it prior to its consideration in the evaluation, and any Applicant comment will be considered with the negative performance information.

USAID will initially determine the relevance of similar performance information in terms of size, scope and complexity as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

**Subfactor 3.1: Demonstrated knowledge and experience operating similar or related programs. (20 points)**

- a. Quality of product or service, including consistency in meeting program objectives and results
- b. Operational system and controls, including timely completion of all administrative requirements
- c. Cost control, including forecasting costs as well as accuracy in financial reporting
- d. Timeliness of performance, including adherence to agreement schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks
- e. Business relations, addressing the history of professional behavior and overall business-like concern for the interests of beneficiaries and USAID, including coordination among developing country partners, collaborative attitude in remedying problems
- f. Beneficiary and other stakeholders' satisfaction with performance, including the percentage of program activity budgets to Afghan civilian victims as either direct or indirect assistance

**Subfactor 3.2: Demonstrated experience collaborating with the military, host government and other relevant stakeholders in a conflict environment. (10 points)**

In cases where an Applicant lacks relevant performance history;

information on performance is not available; or,

an Applicant is a member of a class of Applicants where there is provision not to rate the class against a subfactor; then the Applicant will not be evaluated favorably or unfavorably on performance. The "neutral" rating assigned to any Applicant lacking relevant performance history is a score commensurate with the percentage of points received vs. possible points. An exception to this neutral rating provision: the non-small businesses prime with no history of subcontracting with small business concerns. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an Applicant's performance.

**COST EVALUATION CRITERIA:**

No points are assigned for cost evaluation; however, each applicant's cost application will be evaluated separately from the technical application. The recipient should have a structure that will allow it to provide the greatest value (highest results) at the lowest cost; minimizing and/or eliminating overall administrative costs, overhead,

subcontract/subgrant pass-through costs, international staff benefits, home office communications and support, and other non-value added costs. Each offeror's cost proposal shall be evaluated based on the following criteria in comparison with the cost proposal of other offerors:

- 1) Effectiveness of proposed cost control structure
  - a. Budget transparency to effectively track expenditures
- 2) Reasonableness of proposed labor cost and structure
  - a. Expatriate salary structure and expense; and
  - b. Local salary structure and expense
- 3) Cost efficiency of proposed Other Direct Costs (ODCs)
  - a. Offers market competitive pricing estimates of tangible items to be used for performance; and
  - b. Competitiveness of pricing and soundness purchase methods of international and in-country air travel and surface transportation.
- 4) Provides cost-sharing, matching arrangements, and value of in-kind contributions, if any is proposed.
- 5) Reasonableness of overall proposed price

**Security Plan – No points assessed**

Points will not be assessed for evaluation purposes. Security plans will be reviewed in coordination with USAID's Security Office on the extent to which the plan demonstrates clarity, appropriateness, and feasibility of the proposed approach to ensure security for personnel and facilities. Plans will be assessed a pass or fail rating. If the deficiencies are deemed minor in nature, the Applicant will have an opportunity to address and correct them. The Applicant must have an acceptable plan prior to receiving an award.

**B. Branding Strategy and Marking Plan**

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

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "Apparent Successful Applicant," as defined in the regulation. The Apparent Successful Applicant's proposed Branding and Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. The Agreement Officer is responsible for evaluating and

approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the Apparently Successful Applicant, consistent with the provisions “Branding Strategy,” “Marking Plan,” and “Marking of USAID-funded Assistance Awards” contained in AAPD 05-11 and in 22 CFR 226.91. Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by the Mission Director or other USAID Principal Officers, see 22 CFR 226.91(j).

### **C. Award**

Award will be made to the responsible Applicant whose application offers the greatest value. The final award decision is made, while considering the recommendations of the Technical Evaluation Committee (TEC), by the Agreement Officer.

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

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

[END OF SECTION V]

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

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

### **A. Roles and Responsibilities**

The Recipient shall be responsible to USAID/Afghanistan for all matters related to the execution of the Agreement. Specifically, the Recipient shall report to the USAID Agreement Officer Technical Representative, or AOTR located within the Stabilization Unit, Kabul.

### **B. Activity Performance Management Plan and Reporting**

#### **1. Performance Monitoring and Evaluation System**

The recipient will maintain books, records, designs, other documents and evidences to demonstrate that funds are used in accordance with the terms of the Agreement and USAID's regulations. The Applicant to this RFA should also carefully review the USAID/Afghanistan Results Framework.

Within 90 days, the preliminary PMP must be approved with relevant indicators and baseline data before major project implementation actions get underway. The PMP would include the full set of performance indicators disaggregated; baseline values and targeted values; source of the data and method of collection; schedule for data collection; known data limitations, data quality assessment procedures, estimate of costs; possible evaluation studies; and a calendar for the completion of each task.

In responding to this RFA, the Applicant is requested to submit a Program Delivery Process Diagram as Attachment B, Management Plan and Organizational Diagram as Attachment D, and related charts to explain lines of authority and reporting arrangements of their proposed Performance Management Plan as Attachment A.

#### **2. Reporting Requirements**

The Recipient shall prepare and submit three copies of a final performance and financial report to the AOTR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final performance and financial report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this Agreement, which will include but not limited to:

- basic identifying information, such as program name, award number, approval date, and country assisted;
- the total cost of the program funded by USAID, actual or estimated counterpart contributions, and the best available estimate of other host country or partner resources that contributed to results achievement;
- the principal implementing partner;
- a summary of activities/projects used to implement ACAP II and major outputs;
- quantitatively evaluate the design, impact and effectiveness of ACAP II's value as a stabilization program in the context of the larger USG effort in Afghanistan;
- prospects for long-term sustainability of impact and principal threats to sustainability;
- distill lessons learned for application to other USAID programs, including a follow-on program in Afghanistan;
- significant changes in the Results Framework during the life of the program, if any;
- a summary of performance indicators used and an assessment of their relative usefulness for performance management and reporting;
- charts and graphs that visually support evaluation of the program;
- a list and attachments of evaluations and special studies conducted during the life of the program, including Performance Reports; and,
- names and contact point of individuals who were directly involved in various phases of the program (planning, achieving, and assessing and learning), and who would be good sources of additional information.

### **3. Gender Requirements**

Congress has mandated that USAID programs address the needs and protect the rights of Afghan women and girls, including efforts undertaken to prevent discrimination and violence against women and girls; provide economic and leadership opportunities; increase participation of women in the political process at the national, provincial and sub-provincial levels; improve security for women and girls; and any other programs designed to directly benefit women and girls. As required by USAID policies, the Recipient shall integrate assistance to women into all stages of development, planning, programming and implementation as a part of this assistance program, even if such integration requires separate but equitable programming approaches. Such integration shall focus on Afghan-led programs directly aligned with any or all the three pillars of development outlined in the National Action Plan for the Women of Afghanistan (NAPWA): 1) Security; 2) Government, Rule of Law, and Human Rights; and 3) Economic and Social Development. The Recipient shall establish the necessary accounting and management systems to separately track and report to USAID fiscal year expenditures under the Agreement supporting issues of gender equality and women and girls as beneficiaries during each fiscal year of the Agreement.

The Recipient shall establish the necessary implementation, management and reporting systems to separately track and report to USAID data on female beneficiaries and measurable impacts of activities intended to address the needs of women and girls.

Project quarterly implementation reports shall specifically include information on the following, to the extent that it is applicable to the Agreement: 1) the total number of women and girls supported through the Agreement on a quarterly basis through Afghan Info; 2) number of women accessing basic services, including education and health; 3) number of interventions leading to increased employment and economic opportunities for women, as well of number of beneficiaries; 4) number of interventions resulting in increased participation of women in government and civil society; 5) number of activities supporting legal rights and public access for women; and, 6) qualitative outcomes, in addition to quantifiable outputs, for women who have benefited from the Agreement. The Recipient shall refer to USAID/Afghanistan's comprehensive Performance Management Plan (PMP) for complete list of gender indicators and may add customized indicators as needed. To the extent possible, indicators applicable to the Agreement will be disaggregated by gender.

#### **4. Database Reporting Requirements**

The demands for performance information are constant and various in a high profile program such as Afghanistan's. The Afghan Info database, enabled to track performance indicators in addition to activity inputs and outputs, will be the basis for contributing to other regular, on-going reporting exercises and to the many ad-hoc requests for performance analysis that are a constant element of the environment of high profile program.

USAID/Afghanistan uses a management information system to track program and project information for all mission-funded activities at the provincial, district, and village levels. The purpose of this database is to track the location of project implementation to the nearest village or geospatial coordinate, document the use of funds at the district level, and monitor the performance of development projects, while maintaining coordination between USAID/Afghanistan, USAID/Washington, Congress, implementing partners, the Government of Afghanistan, and other donors. This reporting process supports the Government of Afghanistan's requirement that USAID provide information to the Ministry of Finance in order to track ongoing and completed donor-sponsored development activities.

The Recipient shall provide at least a quarterly update of information on the activities under the Agreement by entering this information into the USAID/Afghanistan management information system. The Recipient shall enter information via an Internet website or a Microsoft (MS) Access Database; USAID will provide the URL address or Access Database, and a user ID/password. A comprehensive user manual will be provided after that details information on the required information and processes needed for managing the information in USAID\Afghanistan information system.

[END OF SECTION VI]

**SECTION VII – AGENCY CONTACTS**

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

Robert P. Schmidt, Jr.  
Agreement Officer  
USAID/Afghanistan  
U.S. Embassy East (CAFÉ) Compound  
Great Massoud Road  
Kabul, Afghanistan

Telephone: +1 202-216-6288 Ext: 4739  
[RSchmidt@usaid.gov](mailto:RSchmidt@usaid.gov)

**The A&A Specialists for this Award are:**

Maya Chelidze  
Senior Acquisition and Assistance Specialist  
Office of Acquisition and Assistance  
USAID/Afghanistan  
U.S. Embassy East (CAFÉ) Compound  
Great Massoud Road  
Kabul, Afghanistan

Telephone: 202-216-6288 Ext: 4343  
[mchelidzetdy@usaid.gov](mailto:mchelidzetdy@usaid.gov)

Shoja A. Mateen  
Acquisition and Assistance Specialist  
Office of Acquisition and Assistance  
USAID/Afghanistan  
U.S. Embassy East (CAFÉ) Compound  
Great Massoud Road  
Kabul, Afghanistan

Telephone: 202-216-6288 Ext: 4768  
[MateenSA@usaid.gov](mailto:MateenSA@usaid.gov)

The AOTR for this Award will be designated after the signature of the Award.

**[END OF SECTION VII]**

## SECTION VIII – OTHER

### A. Branding Strategy – Assistance (December 2005)

#### (a) Definitions

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

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

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

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

#### (c) Submission Requirements

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

##### (1) Positioning

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

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

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

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

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

## (2) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: Afghan civilians victims harmed by military operations, Secondary audience: Afghan communities and local governance structures.*

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

Guidelines: These include primarily word of mouth visits, pamphlets, Public Service Announcements. The program does not envision the development of communication products as significant deliverables.

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

Guidelines: *For example: "Visit your local provincial office for information."* 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 fact sheets, success stories, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

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

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

### (3) Acknowledgements

*What is the 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)**

### (a) Definitions

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

request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

### **C. Marking under USAID-Funded Assistance Instruments (December 2005)**

#### **(a) Definitions**

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

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

Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

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

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

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

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

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

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

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the

USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

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

agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

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

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

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

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

(c) Implementation of marking requirements.

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [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,

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

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

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

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

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

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

**D. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010)**

- (a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

- (b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a nongovernmental organization or public international organization awardee/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.
- (b)(2) The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.
- (b)(3) Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.
- (b)(4) Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:
- (i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;
  - (ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
  - (iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).
- (c) The following definitions apply for purposes of this provision:
- “Commercial sex act” means any sex act on account of which anything of value is given to or received by any person.
- “Prostitution” means procuring or providing any commercial sex act and the “practice of prostitution” has the same meaning.
- “Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).
- (d) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

- (e) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

**E. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE – THE GLOBAL FUND TO FIGHT AIDS, TUBERCULOSIS AND MALARIA, THE WORLD HEALTH ORGANIZATION, THE INTERNATIONAL AIDS VACCINE INITIATIVE, AND ANY UNITED NATIONS AGENCY) (APRIL 2010)**

- (a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or postexposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

- (b) The following definitions apply for purposes of this provision:

“Commercial sex act” means any sex act on account of which anything of value is given to or received by any person.

“Prostitution” means procuring or providing any commercial sex act and the “practice of prostitution” has the same meaning.

“Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

- (c) The recipient shall insert this provision, which is a standard provision, in all subawards.
- (d) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

**F. Annexes**

- A. Administrator's Guidance on Stabilization (January 29, 2011)
- B. U.S. Foreign Assistance for Afghanistan Post Performance Management Plan – 2011-2015
- C. Illustrative Table for a Performance Management Plan
- D. Certifications, Assurances, and Other Statements of the Recipient (May 2006)
- E. FSN Local Compensation Plan

[END OF SECTION VIII]