



# USAID | PAKISTAN

FROM THE AMERICAN PEOPLE

**Issuance Date:** February 18, 2011  
**Deadline for Questions:** March 04, 2011, 2:00 pm (Pakistan time)  
**Closing Date:** April 04, 2011, 2:00 pm (Pakistan time)

**Subject:** Request for Applications, USAID-Pakistan; RFA 391-11-006

**Activity Title:** Political Party Development Program (PPDP)

The United States Agency for International Development in Pakistan (USAID/Pakistan) is seeking applications for a Cooperative Agreement from qualified US and non-US organizations to implement a project entitled "Political Party Development Program (PPDP)" in Pakistan. Qualified Pakistani organizations are encouraged to apply. The successful applicant will be responsible for ensuring achievement of the program objectives. Please refer to the Program Description in Section C of this RFA for a complete statement of goals and expected results. The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the Cooperative Agreement and are in accordance with applicable cost standards (22 CFR-226 and OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation Part 31 regarding for-profit organizations), may be paid under this award.

Subject to the availability of funds, USAID/Pakistan intends to provide approximately \$21,500,000 in total funding for this activity to be allocated over a five-year period (approximately \$4.3 million per year). The anticipated start date of this program is in May 2011. USAID plans to launch the program for an initial two-year period, at which point an independent evaluation will be conducted to assess performance and impact, determine whether the program should be continued and, if so, inform the direction of follow-on activities. Although it is planned to make an award of one Cooperative Agreement under this RFA, USAID/Pakistan in its discretion may make awards to more than one organization. A consortium approach would also be considered and is encouraged.

In accordance with ADS 304.3.1 (b), the principal purpose of the relationship with the applicant under the subject program is to transfer funds to accomplish a public purpose of support or stimulation, which is authorized by federal statute. Substantial involvement is anticipated between USAID and the applicant during the performance of the PPDP. The vital need for creativity and flexibility in the implementation of the PPDP in addition to the fluid nature of the political environment necessitate substantial involvement between USAID and the applicant. Therefore, a Cooperative Agreement instrument will ensure adherence to USAID policies and regulations and improve the efficiency of implementation of the program.

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

1. Section A – Application Format and Submission Instructions
2. Section B – Evaluation Criteria
3. Section C – Program Description
4. Section D – Award and Administration Information
5. Section E – Certifications and Assurances
6. Section F – Attachments

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

To be eligible for an award, the applicant must provide all required information in its application, including the requirements found in any attachments to this Grants.gov opportunity. Applications must be received by the closing date and time indicated at the top of this cover letter. Applications that are submitted late, are incomplete or are non-responsive will not be considered. Award will be made to the responsible applicant(s) whose application(s) best meet(s) the requirements of this RFA and the evaluation criteria contained herein.

The preferred method of distribution of USAID RFAs is electronically via Grants.gov. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. It is the responsibility of the recipient to ensure that it has received the RFA in its entirety and any future amendments from <http://www.grants.gov>. All interested parties are encouraged to register on <http://www.grants.gov> to receive automatic notification of amendments to this RFA. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@usaid.gov](mailto:support@usaid.gov) for technical assistance.

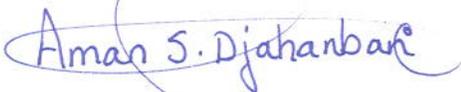
Applicants may upload applications to <http://www.grants.gov>; however, USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Additionally, USAID/Pakistan requires that applications be submitted electronically (e-mailed) and in hard copy (via courier) in accordance with instructions contained in Section A – Application Format and Submission Instructions.

Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for any costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. Applications are submitted at the risk of the applicant and all preparation and submission costs are at the applicant's expense.

USAID/Pakistan requests that all questions regarding this RFA be submitted in writing by 2:00 pm Pakistan time on March 04, 2011 in accordance with instructions contained in Section A.

Thank you for your interest in this USAID/Pakistan program.

Sincerely,



Aman S. Djahanbani  
Agreement Officer

## SECTION A - APPLICATION FORMAT AND SUBMISSION INSTRUCTIONS

### 1. SUBMISSION – GENERAL INSTRUCTIONS

#### a. Request for Application Distribution

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@usaid.gov](mailto:support@usaid.gov) for technical assistance. Applicants may upload applications to [www.grants.gov](http://www.grants.gov); however, email and hard copy submissions are still required. It is the responsibility of the applicant to ensure that the application has been uploaded onto Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

#### b. Point of Contact

All correspondence pertaining to this RFA must be addressed to:

Ms. Saulat Rehan  
Office of Acquisition and Assistance  
United States Agency for International Development (USAID)  
C/o U.S. Embassy, Diplomatic Enclave, Ramna - 5  
Islamabad, Pakistan  
E-mail: [srehan@usaid.gov](mailto:srehan@usaid.gov)

Any questions concerning this RFA must be submitted in writing to Ms. Saulat Rehan via email at [srehan@usaid.gov](mailto:srehan@usaid.gov) by the date mentioned on the cover page.

#### c. Application Submission Instructions

Applications shall be submitted with the name and address of the applicant and the RFA number (referenced above) inscribed thereon, via e-mail, to [srehan@usaid.gov](mailto:srehan@usaid.gov). Applicants shall submit their applications by e-mail attachment formatted in Microsoft Word, PDF and Microsoft Excel (up to 2MB limit per email). Faxed proposals are not acceptable. Applicants shall confirm with the above mentioned point of contact that their e-mail submissions were successfully received by the required due date.

In addition to the submission of applications via email, an original and four (4) hard copies of the technical and cost applications shall be sent to:

By Courier:  
Ms. Saulat Rehan  
Agreement Specialist  
Office of Acquisition and Assistance  
USAID/Pakistan, C/o U.S. Embassy  
Diplomatic Enclave, Ramna - 5, Islamabad, Pakistan  
Tel: 92-51-2081276

Applicants should take account of the expected delivery time required by the proposal transmission methods, and are responsible to ensure that proposals are received at USAID in Islamabad by the due date and time specified above. Requests to meet offerors at the gate of the diplomatic enclave to receive proposals will be denied. Therefore, applicants must mail their applications via courier in a timely manner.

E-mail and hard copies must arrive by the submission date and time mentioned on the cover page. Both are required. Applications will be accepted for consideration as long as they arrive at USAID/Pakistan by the time stipulated. See RFA Section 2.b regarding late applications. In the event of inconsistencies between the hard copy and e-mail versions of the proposal, the e-mail version shall prevail. Applicants are requested to submit the technical and cost portions of their applications in separate volumes and emails so that they may be reviewed separately. Please be advised that USAID will not approve reimbursement for pre-award expenses relating to the preparation or submission of applications.

## 2. PREPARATION GUIDELINES

- a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the guidelines herein. Section B addresses the evaluation procedures for the applications. Applicants shall submit an original and four (4) hard copies of the technical application in addition to the email submission.
- b. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated above. Applications which are received late or are incomplete run the risk of not being considered in the review process. Such late or incomplete applications will be considered in USAID's sole discretion depending on the status of USAID's application review process as of the time of receipt and/or the quality of other applications received.
- c. Technical applications should be specific, complete and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the evaluation criteria found in Section B.

Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

- d. Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the above mentioned point of contact. Questions regarding this RFA should be submitted no later than 4:00pm Islamabad local time on March 03, 2011. The questions and answers (Q&A), if any, will be posted as an amendment to the RFA on [www.grants.gov](http://www.grants.gov). Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective recipient concerning this RFA will also be furnished to all other prospective recipients as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective recipients.

- e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes on hard copies must be initialed by the person signing the application. To facilitate the competitive review of the applications, applications should conform to the format prescribed below.
- f. Submission of Applications by E-mail: Preferred software for email attachments: Microsoft Word (for narrative text) or Excel (for tables). Please convert your documents to one of these software programs before sending them to USAID. Zipped files cannot be accepted due to firewall restrictions; however, PDF files (for all files except budgets) are acceptable. Applicants are responsible for confirming that their complete applications were received electronically by USAID.
- g. Hard copies of applications shall be submitted in sealed envelopes or packages addressed to the office specified above, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages.
- h. **Telegraphic or fax applications will not be considered.**
- i. Applicants which 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:
  - (i) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages\_\_\_\_."; and
  - (ii) 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."
- j. Preparation of Applications:
  - (i) Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
  - (ii) Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and print or type its name on the Cover Page of the technical and cost

applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. The SF-424 forms and Certifications will be required along with the application.

k. **Page Limitation:** Applications shall be written in English. The technical application shall not exceed 25 single-spaced, one-sided, typed pages excluding the cover sheet and the table of contents. Any pages that exceed the page limitation will not be furnished to the evaluation panel. Supplementary materials such as full resumes of personnel, the draft performance monitoring plan, and documentation of past institutional work are excluded from the 25-page limitation and should be included as annexes accompanying the technical application. There is no page limit for the annexes, although brevity is encouraged. There is no page limitation for the cost application.

Applications should be printed on standard (A4) 8 1/2" x 11" paper. Applicants must use 12 point Times New Roman with one inch margins on all sides. Pages shall be numbered consecutively with the page number on each page.

### **3. TECHNICAL APPLICATION FORMAT**

The technical application is the most critical portion of the application. Technical applications should be specific, complete and presented concisely so as to address the program objectives and the desired results. Applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the technical evaluation criteria found in Section B.

The suggested outline for the technical application is as follows. Additional details on each section and annex are below.

- I. Table of Contents (listing all page numbers and attachments)
- II. Executive Summary
- III. Technical Approach
- IV. Management Plan
- V. Personnel
- VI. Institutional Capacity and Experience
- VII. Past Performance
- VIII. Security Plan
- IX. Annexes
  - A. Illustrative Activity Timeline
  - B. Illustrative Performance Monitoring Plan
  - C. Relevant Past Performance Information
  - D. Curriculum Vitae for Key Personnel
  - E. Security Plan

#### **A. Executive Summary**

Technical applications shall include an executive summary, not to exceed two pages. The executive summary shall describe how the applicant proposes to meet the project requirements and what activities are proposed. The applicant should provide a clear

overview of the anticipated results and how they will be achieved. It should also include a brief summary of the applicant's experience implementing similar activities, its personnel and technical/organizational resources, and a brief description of how the program will be managed.

## **B. Technical Approach**

The technical approach must demonstrate an in-depth understanding of the challenges associated with promoting political party development and reform in Pakistan, a realistic assessment of opportunities to link policy development to research and democratic debate, and a focus on results. The approach should outline specific activities, especially at the grassroots level, and explain how proposed activities would help achieve the PPDP objectives. Letters of endorsement from political parties are neither necessary nor desirable. The technical approach must clearly address the factors outlined in the evaluation criteria in Section B of this RFA.

The technical approach should demonstrate 1) analytical depth, clarity, and responsiveness to the RFA, 2) state-of-the-art technical knowledge, innovation, and creativity, and 3) feasibility of proposed strategies and impact. Applicants should define what they consider feasible to achieve within the initial two-year timeframe with a budget of approximately \$8.6 million and within the extended five-year timeframe, with a \$21.5 million budget (\$4.3 million per year average), given the current status of Pakistani political parties and the political and security situation in the country.

Applicants are recommended to present the following for each of the four program objectives:

- An overview of the proposed interventions;
- A detailed outline of the methodology that will be used to implement the proposed interventions;
- An analysis of anticipated implementation challenges and how they will be overcome/mitigated; and
- A summary of expected outputs with their expected impact, using indicators that will be used to track progress towards the anticipated results.

## **C. Management Plan**

The applicant should propose a management plan and describe how the plan will contribute towards achieving the objectives and results described in the program description (Section C). The proposed plan should specifically state and justify the composition and organizational structure of the entire project team. It should also describe how the technical expertise and experience of all staff members is most conducive to achieving expected results of the PPDP. The plan should specify the role and estimated amount of time each staff member will devote to the project and/or specific components within the project. Delineation of roles, responsibilities, authority, and processes for decision-making within applicant's in-country team and between the home office and the field must be spelled out clearly.

Potential partners (if any) in the implementation of the award and the services to be provided by each partner institution or organization as well as the type of contractual

relationship shall be described. Applicants shall describe the process of identifying and supporting subgrantees, if any. Applicants must also specify the technical resources and expertise of proposed subcontract/subrecipient organizations, if any, as well as how the applicant will ensure that each partnering organization will contribute to the overall strategy and implementation and how the technical components and activities of the program will be integrated and coordinated. Applicants shall state whether or not they have existing relationships with proposed partner organizations and the nature of the relationship (i.e.: sub-grantee, subcontractor, partnership, etc.).

The management plan should also describe how the applicant would coordinate its activities with other programs funded by USAID/Pakistan and other donors.

This section should also include a mobilization plan - a step-by-step outline of how the applicant will get the activity underway, hire staff, make the necessary logistical arrangements, and establish management and financial control systems, including a clear timeline. The schedule should be feasible yet reflect a rapid mobilization and start-up.

#### **D. Personnel**

Applicants are expected to provide a proposed staffing plan that covers both key personnel and support staff, documenting the underlying rationale regarding the staffing configuration. Brief position descriptions should be included. The staffing plan should be accompanied by an organizational chart demonstrating the lines of authority and staff responsibility.

The staffing plan should highlight where the applicant anticipates the involvement of technical experts on an ad hoc and/or short-term basis. The staffing plan should explain how additional expertise might be obtained while attending to the necessity of cost-containment and avoiding unnecessary staffing.

Special attention should be paid to the key personnel positions. Key personnel are those considered essential to the work being performed under this agreement, and must be approved by USAID/Pakistan prior to their employment. Applicants must propose key personnel that are suited to successfully implement the proposed technical approach and specify their qualifications, abilities, and illustrative responsibilities. At minimum, the Chief of Party (COP) should be designated as key personnel.

The applicant shall also include, in an annex, resumes for all key personnel candidates and any other personnel proposed for significant positions. Resumes may not exceed three pages in length and shall be in chronological order starting with the most recent experience. Each resume shall be accompanied by a signed Letter of Commitment from each candidate indicating his/her a) availability to serve in the stated position, in terms of days after award; b) intention to serve for a stated term of the service; and c) agreement to the compensation levels which corresponds to the levels set forth in the cost application.

## **E. Institutional Capacity and Experience**

Applicants must demonstrate technical and managerial resources and expertise that would directly benefit the PPDP program and reflect comparative advantages in implementing the proposed activities. Applicants are advised to articulate their capacity to engage in the following programming areas: engaging with political parties at the national and local levels; conducting public opinion research and utilizing data to promote policy development and internal debate; incorporating women into political party programs; promoting constructive engagement between political parties and citizens/civil society organizations; and management of activities at the grassroots level. Information in this section should include (but is not limited to) the following:

- 1) Brief description of organizational history/expertise;
- 2) Relevant experience with proposed approaches;
- 3) Sub-awardee or subcontractor capabilities and expertise (if any); and
- 4) Home office backstopping and its purpose (if applicable).

## **F. Past Performance**

Applicants must provide evidence of pertinent past performance and clearly describe examples of successful development and implementation of programs similar to what is required under this RFA, preferably in South Asia. Applicants must submit a list of the five most relevant/recent U.S. Government or other donor-funded contracts, grants, cooperative agreements, etc. Include the following for each award:

- Name of awarding organization or agency;
- Address of awarding organization or agency;
- Place of performance of services or program;
- Award name and number;
- Amount of award;
- Period of performance (beginning and end dates of program);
- Name, current telephone number, current fax number, and email address of a responsible technical representative (project officer, activity manager or other contact person) of that organization or agency; and
- Brief description of the program.

Similar information should be provided for every partner organization that would represent 10 percent or more of the total proposed project costs.

Special attention should be made to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success for this program.

## **G. Security Plan**

The Applicant shall submit a Security Plan and budget as a part of their proposal. The Security Plan shall be based on a credible threat analysis and risk assessment. The plan shall provide a coherent, integrated security plan which demonstrates that the Applicant has undertaken a thoughtful review of their security needs and includes

analysis of the various elements of a security system showing how threats will be mitigated. The security budget shall delineate and justify for reasonableness all costs. The budget shall be complete and include comprehensive budget notes. The Security Plan and budget shall also include a point of contact to answer questions or provide clarifications regarding security. A sample format for Initial Security Plan is attached for reference. The Applicant is encouraged to acquire professional advice from an expert of its choosing to assist in establishing an overall security plan/system.

## H. Annexes

1. Illustrative Activity Timeline  
An illustrative activity timeline should be developed for the first two years of the program. The timeline should include all major activities to include those associated with project start-up, reporting, and monitoring.
2. Illustrative Performance Monitoring Plan (PMP)  
The PMP should identify appropriate milestones, indicators and targets (including sex disaggregated targets), and outline plans to gather and utilize baseline data. In addition, the PMP is expected to reflect concern for results and include proper impact indicators.
3. Past Performance Information
4. Curriculum Vitae for Key Personnel
5. Security Plan

## 4. REQUIREMENT AND DESCRIPTION FOR THE COST/BUSINESS APPLICATION

The cost/business application must be completely separate from the applicant's technical application. The application must be submitted using SF-424. The form is downloadable on USAID's website at: <http://www.usaid.gov/forms/>.

The cost/business application should be for both a two-year and five-year period broken down by year (approximately \$4.3 million per year), and using the budget format shown in the SF-424. Cost/Business applications must be submitted in Microsoft Word (narrative) or Microsoft Excel (graphic/tables). The budget format must not be locked. The cost/business application should be prepared in US Dollars.

If the applicant has established a consortium or another legal relationship among its partners, the cost/business application must include a copy of the document establishing the parameters of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the applicants including identification of the applicant with which USAID will interact 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.

The evaluation of the cost/business application will focus on a cost realism analysis. The evaluation of the cost/business application will verify the applicant's understanding of the

requirements, and assess the degree to which the costs included accurately reflect the work effort described in the technical application. Included costs will be evaluated for reasonableness, allowability, allocability and cost realism. Additionally, if an applicant proposes a cost share, this may be considered with the “cost effectiveness” of the evaluation.

To support the proposed costs, please provide detailed budget notes or budget narratives for all costs that explains how the costs were derived. **The following provides guidance on what is needed:**

- A. The detailed breakdown of all costs associated with the program including costs of headquarters, regional and/or country offices;
- B. The detailed breakdown of all costs according to each partner organization involved in the program (if applicable);
- C. The costs associated with external, expatriate technical assistance (if applicable) and those associated with local in-country technical assistance;
- D. The breakdown of any financial and in-kind contributions of all organizations involved in implementing this agreement;
- E. Potential contributions of non-USAID or private commercial donors (if applicable); and
- F. Procurement plan for commodities (if applicable).

**The cost application should contain the following budget categories:**

- A. Salary and Wages: Direct salaries and wages should be proposed in accordance with the applicant's personnel policies;
- B. Fringe Benefits: If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain in details how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprising all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries;
- C. Travel and Transportation: The application should indicate the number of trips, domestic and international (if applicable), and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diems should be based on the applicant's normal travel policies;
- D. Equipment: Estimated types of equipment (i.e., model #, cost per unit, quantity);
- E. Supplies: Office supplies and other supply items related to this activity;
- F. Contractual: Any goods and services being procured through a contract mechanism;

- G. Other Direct Costs: This includes communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent abroad, etc. The narrative should provide a breakdown and support for all other direct costs;
- H. Security Plan: Estimated cost for the security plan to be supported by adequate narratives; and
- I. Indirect Costs: The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a Negotiated Indirect Cost Recovery Agreement (NICRA), or with sufficient information for USAID to determine the reasonableness of the rates (e.g. a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

**Please include information on the organization's financial status and management including:**

- A. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a reputable certified public accounting firm or other auditor satisfactory to USAID;
- B. A current NICRA: If applicable, the applicant should support any proposed indirect cost rate with a letter from its cognizant U.S. Government agency approving its indirect cost rates or a current NICRA with its cognizant U.S. Government agency. Applicants who do not currently have a NICRA from their cognizant agency shall also submit the following:
  - 1. Projected budget and cash flow; and
  - 2. A copy of the organization's accounting manual.
- C. Organizational chart;
- D. 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;
- E. Evidence of Responsibility: Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The application should include information that substantiates that the applicant:
  - 1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the cooperative agreement;

2. Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;
  3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
  4. Has a satisfactory record of integrity and business ethics; and
  5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., Equal Employment Opportunity laws).
- F. Submit completed required Certifications and Representations:
1. SF-424/SF-424a&b: The cost/business application must be submitted using the SF- 424 series;
  2. Pre-Award Certifications, Assurances and Other Statements of the Recipient: In addition to the certifications that are included in the SF 424, organizations must provide the following certifications, assurances and other statements. Complete copies of these certifications, assurances, and other statements may be found in Section E of this RFA.
    - a. A signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs. This certification also applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;
    - b. A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see 22 CFR 227);
    - c. A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries, as detailed in ADS 206.3.10;
    - d. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
    - e. When applicable, a signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking" (see ADS 206);
    - f. When applicable, a signed copy of "Participant Certification Narcotics Offenses and Drug Trafficking" (see ADS 206);
    - g. Survey on Ensuring Equal Opportunity for Applicants; and
    - h. A Data Universal Numbering System (DUNS) number.
- G. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required: 1) to submit a copy of their accounting manual and procurement/management handbook relating to personnel and travel policies and 2) to undergo a pre-award assessment to be conducted by USAID for the Applicant selected for the award.

**[END OF SECTION A]**

## SECTION B - EVALUATION CRITERIA

The technical applications will be evaluated in accordance with the technical evaluation criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be evaluated for cost reasonableness, allowability, and allocability. Award will be made to the responsible applicant(s) whose application(s) best meets the requirements of the PPDP RFA and offers the best value to the US Government.

Upon completion of its review of applications, USAID/Pakistan may, as it deems necessary and appropriate, conduct written and/or oral discussions with those applicants whose applications remain in the competitive range. To the extent necessary, USAID/Pakistan may also request clarification and supplemental materials from applicants whose applications have a reasonable chance of being selected for award. The decision to conduct such discussions should not be considered a reflection of a final decision about which organizations will receive an award, but rather would be part of the evaluation process. The final award decision will be made by the Agreement Officer, with consideration of the Technical Evaluation Committee recommendations.

The criteria presented below have been tailored to the requirements of the PPDP RFA. Applicants should note that these criteria serve to: a) identify the significant areas that applicants should address in their applications and b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants are requested to organize the narrative sections of technical applications according to the format outlined in Section A (Application Format and Submission Instructions) and the evaluation criteria set forth below.

The criteria below are presented by major category, so that applicants will know which areas require emphasis in the preparation of the technical application. The selection will be based upon the following factors. To be selected for the award, the application must contain, at a minimum, these elements. The maximum point value that can be awarded in evaluating each element is provided below.

The specific evaluation criteria are as follows:

### I. TECHNICAL EVALUATION

Technical Approach	45
Management Plan	20
Personnel	25
Institutional Capacity & Experience (including Past Performance)	10
<b>Total Score</b>	<b>100</b>

#### A. Technical Approach (maximum points = 45)

Particular attention will be given to:

1. Responsiveness to the program description and realistic linkages between expected results (listed under Section C) and the applicant's proposed interventions through

- innovative but feasible sets of activities that demonstrate the applicant's strategic approach and application of best practices, clarity in scope and focus of activities to be carried out, as well as a sound rationale for relative priorities throughout project implementation;
2. Clear articulation of results to be achieved – both in terms of performance (i.e. outputs) and impact – that are feasible within the given timeframe. The application should also demonstrate effective integration of monitoring and evaluation (M&E) activities into project implementation and use of M&E data to inform and guide future implementation decisions.
  3. Demonstrated understanding of key issues, challenges and opportunities in political party development including challenges to women's participation in the political process in Pakistan;
  4. Focus on working with local political party branches and grassroots leaders throughout the provinces of Baluchistan, Khyber Pakhtunkhwa, Punjab, and Sindh;
  5. Integration of research throughout proposed activities and demonstrated linkages between research and political party policy and platform development;
  6. Synergetic linkages with other assistance activities, including those which may be undertaken under USAID-funded civil society, gender, and election administration programs as well as projects funded by other donors and implemented by other international and domestic organizations.

**B. Management Plan (maximum points = 20)**

1. Organization: the extent to which the proposed management structure and approach will ensure program effectiveness and efficiency in achieving maximum benefits and results. The management plan must consist of a clear and concise description of how internal management plans, organizational structures, lines of communication and authority (for example, between headquarters and the field, if applicable), and partnerships are conducive to effective project implementation. The plan should also clearly articulate how the proposed management approach will allow the program to adjust and respond to unforeseen circumstances and developments. The plan should also articulate how the applicant will divide labor, responsibilities, and funding, while demonstrating unity with any sub-awardees to manage and implement project activities.
2. Aptitudes and Effort: the composition and organizational structure of the entire project team must be justified. The roles and estimated Level of Effort (LOE) for each staff member must also be clearly explained. Applicants should also explain how the sum of technical expertise and experiences of all staff members is compatible with the technical and operational strategies of the PPDP.
3. Operational Capacity: as indicated by a) appropriate systems to manage and integrate activities of the various components of the PPDP program; b) capacity for rapid deployment; and c) level of in-country and field presence proportionate to the activities proposed and consistent with the PPDP's grassroots focus.

**C. Personnel (maximum points = 25)**

Staffing plans and proposed personnel must offer an effective combination of management and technical skills. The application should demonstrate that proposed key personnel have the breadth and depth of background (education and experience), expertise and skills in management and implementation of similar programs in comparable environments, and

exemplary diplomatic and interpersonal skills. USAID/Pakistan will encourage and reward staffing plans which demonstrate an understanding of the importance of personnel's technical knowledge and the ability to build cooperative relationships in Pakistan. A priority will be placed on utilizing qualified host country personnel as technical staff and consultants, when possible.

Special emphasis will be placed on reviewing the qualifications of the PPDP Director/Team Leader/Chief of Party (COP). The COP is responsible for overall program management and will be expected to interact regularly with program staff, USAID representatives, civil society leaders, government officials, party leaders, members of the international community and other program stakeholders.

Desired qualifications for the COP include:

- Masters degree in political science, international development, and/or related field.
- Fifteen (15) years work experience in the above-mentioned or related fields including solid domestic and international experience and understanding of political party development, women's political participation, and research and policy development.
- Eight (8) years experience in managing and leading a professional and administrative staff adeptly and coordinating with partner and donor organizations.
- An ability to work constructively with a diverse range of actors and to accommodate divergent interests and agendas in a multi-cultural environment.
- Proven ability to establish and maintain effective and collaborative relationships with political party leaders, the media, government officials, and representatives of the international community at the national and local level.
- Relevant professional experience managing and implementing successful, large, multi-year projects in the area of political party development in cultural and political environments comparable to that of Pakistan.
- Previous resident work experience in South Asia highly desired.
- English proficiency is required. Knowledge of Urdu and/or other South Asian languages is desired.

All other key personnel must have the requisite technical, management and representational skills for making significant programmatic and operational contributions in the course of PPDP implementation. Applicants are also invited to consider including in their staffing plans full time positions for a monitoring and evaluation advisor and a gender specialist.

**D. Institutional Capacity and Experience/Past Performance  
(maximum points = 10)**

Demonstrated effectiveness in the organization and management of complex development programs promoting political party reform and a track record of using research for that purpose. Applicants must have the requisite experience in promoting women's leadership within political parties and working at the grassroots level. Applicants are also encouraged to describe any presence and long-term capacity in the country/region that may be an asset to the implementation of this program.

Past achievements as evidenced by measurable or verifiable success in implementing programs of similar scope and size. Past performance must demonstrate the applicant's capability to plan, implement, monitor, and report on similar political party development

programs as well as performance in methodological and technical capacity to achieve the results described in this RFA. In articulating past achievements, applicants must explain why and how their past performance would positively contribute to the PPDP in Pakistan. The past performance of any partners substantially involved in program implementation should also be included.

## II. COST EVALUATION

Evaluation points will not be awarded for the cost application. Cost applications will primarily be evaluated for reasonableness, realism, allocability, allowability, cost-effectiveness, and adequacy of budget detail. As technical scores converge, applications that maximize direct activity costs – including cost sharing – and that minimize administrative costs will be more favorably considered. The evaluation will consist of a review of the cost portion of the application to determine if the overall costs proposed are realistic for the work to be performed, if the costs reflect understanding of the requirements, and if the costs are consistent with the achievement of overall program results. Effective cost saving measures to improve cost efficiency of the program will also be considered. Given the nature of this activity, USAID/Pakistan will weigh carefully potential benefits from the proposed staffing plans and level of effort. While cost may be a determining factor in the final decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA.

Although there is no requirement that applicants propose a specific cost share, USAID policy is that cost sharing is an important element of the USAID-recipient relationship. USAID/Pakistan encourages applicants to demonstrate their commitment to program success by addressing the issue of cost-sharing.

If cost sharing is proposed, the applicants should estimate the amount of cost-sharing resources to be mobilized over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative.

Contributions can be either cash or in-kind and can include contributions from the applicant, local counterpart organizations, project clients, and other donors (but not other U.S. government funding sources). Cost sharing contributions must be in accordance with OMB Circular A-122 - Cost Principles for Non-Profit Organizations which can be found at the following link <http://www.whitehouse.gov/omb/circulars/a122/a122.html> Information regarding the proposed cost share should be included in the SF 424 (for U.S. organizations only) and the budget as indicated on those documents. The cost sharing plan should be discussed in the budget notes to the extent necessary to demonstrate its feasibility and applicability to the activity.

**[END OF SECTION B]**

## SECTION C – PROGRAM DESCRIPTION

### POLITICAL PARTY DEVELOPMENT PROGRAM

#### I. Executive Summary

Improved democratic governance is fundamental to all long-term development and stability efforts in Pakistan and plays a vital role in supporting many short-term objectives. Planned USAID democracy and governance programming will promote key reforms within the governance system, such as improved basic service delivery, enhanced civil society advocacy and oversight, and more credible electoral processes.

USAID also plans to support political party development recognizing that parties are a fundamental institution in any functioning democratic system. The overall goal of the “Political Party Development Program” is to ***“enhance the ability of political parties to contribute to democratic policy-making and governance processes at the national and local levels in a more open, research-driven and representative manner and thereby generate greater public trust and confidence in their ability to govern and effect positive policy change”***. The program has four main components: 1) Strengthening research, policy analysis and training units within political parties; 2) Development of political parties and engaging citizens at the local level; 3) Establishment of a local independent public opinion research facility; and, 4) Engagement of political parties on issues of internal democracy and transparency.

If political parties, as central actors in the governance process in Pakistan, do not transform along with the other institutions in the political sector, overall reform objectives will suffer. Political parties act as catalysts and organizers throughout the governance system, from interacting with constituents and aggregating their interests and concerns to coalescing support for policies through caucuses in parliaments. Unfortunately, in Pakistan, parties fail to completely and effectively fill these roles. By presenting political parties with tools to reform and better fulfill their roles while highlighting ways in which they can benefit from such changes, over time they can become instruments in the wider democratic reform effort in Pakistan. Such reform is essential as Pakistan begins the long process of rebuilding the country and strengthening its government institutions after the historic and catastrophic floods of July and August 2010. Political parties can either be a deterrent to necessary development (as evidenced by a lack of common approach to flood recovery and reconstruction) or important drivers in representative, responsive, and transparent governance.

The activities to be pursued will be responsive to the new political reality, many aspects of which changed dramatically following the February 2008 elections that resulted in an average national legislative turnover rate of approximately 66%. The media and civic and professional organizations have demonstrated some success in generating greater demand for democratic reform. National polls will be held no later than 2013 and are likely to be competitive, especially in light of the flood disaster. Local elections are expected to be held in the next 12 to 18 months and will likely be held on a party-basis. USAID’s political party programming can contribute to elections that are more focused on well-defined policies and promote strengthened communication between party representatives and their members and constituents. These initiatives may play a role in changing political incentives and ensuring that the next round of elections becomes a tool for stability and political reform.

Subject to the availability of funds, USAID intends to provide up to \$21.5 million to be allocated in equal tranches over a five year period in support of political party development. The program will be launched for an initial two-year period, at which point an independent evaluation will be conducted to assess performance and impact, determine whether the program should be continued and, if so, inform the direction of follow-on activities. Geographically, the program will operate at the grassroots and sub-national levels in the four provinces of Pakistan (Balochistan, Khyber Pakhtunkhwa, Punjab, and Sindh); however, a small portion of activities will be concentrated at the national level in Islamabad, given the importance of the capital to political party activity and the centralization of party structures. This program will be implemented through a competitively awarded cooperative agreement mechanism with a qualified international or Pakistani partner. A consortium approach would be favorably considered.

## **II. Background and Democratic Development Challenges**

Political parties in Pakistan have historically been considered to be personality driven, out of touch with public priorities, and lacking in evidence-based policy development. Consequently, citizens lack trust and confidence in political parties. A comparison of South Asian countries indicates that Bangladesh leads the way in terms of the levels of public trust in political parties followed by Nepal, India, and Sri Lanka. Pakistan stands in the last position with a markedly low level of citizen trust in parties.<sup>1</sup> While support for democratic rule remains strong in Pakistan according to recent polls, citizens are disillusioned with the civilian government as it has struggled to raise and effectively manage and disburse funding for the flood relief and reconstruction efforts. Politicians have been accused of using the disaster to score political points and hampering the relief and reconstruction process by seeking to divert resources to their own constituencies, regardless of the comparative level of need. This has, in turn, further eroded the confidence of the Pakistani public in the ability of parties to respond to and represent their needs.

There are a number of challenges and opportunities related to the development of strong and democratic political parties in Pakistan. They include:

### **A. Long Spells of Military Rule and Executive Dominance**

One of the major causes of political instability and grievance among the populace in post-independence Pakistan has been the imbalance between weak representative structures and institutions on the one hand, and the military and overly strong executive branch on the other. The country has oscillated between executive-controlled civilian governments and military rule, with the exception of a few short-lived spells of parliamentary sovereignty. As a result, political parties in Pakistan have operated under structural constraints. At times, executive decrees and martial law regulations prevented the organization of political parties. Military involvement generally resulted in bans on political parties and their activities. This environment has understandably hindered the development of political parties in Pakistan and demand for their public accountability.

### **B. Lack of Internal Democracy and Transparency**

Pakistan's political parties have little tradition of periodic and transparent internal elections. Although the Political Parties Order of 2002 legally requires intra-party elections, the

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<sup>1</sup> K.C. Suri, *Political Parties in South Asia: Challenge of Change* (Stockholm: International Institute for Democracy and Electoral Assistance, 2007)

majority of parties comply by electing their top leadership "unopposed". The political cultures of the major parties are centered on individuals and families who have an incentive to transfer leadership independently and with little transparency, rather than on the basis of intra-party elections, thereby preventing the emergence of new political leaders and voices. In their Charter of Democracy, two former prime ministers, the late Benazir Bhutto and Nawaz Sharif, reaffirmed their commitment to "undiluted democracy" to include internal party democracy. A number of reform-minded individuals from within their parties and other parties across Pakistan have taken up this goal.

**C. Centralization of Decision-Making and Lack of Outreach to Constituent Bases**

Political parties lack a hierarchical pattern whereby local leaders could gradually move up through the district, provincial and national levels. The influence of local party branches has been minimal and party members and citizens as a whole are not sufficiently engaged in party politics. Party policies and platforms are generally formulated at the top levels and on the basis of the individual preferences of a small group. With local government elections likely to be held on a party basis within the next 12 to 18 months, parties may be inclined to strengthen their bases at this level. Increased scrutiny on the part of independent media may encourage parties to take a more inclusive and research-based approach to the development of policy.

More recent developments suggest that the political dispensation has changed somewhat and that there is now a greater audience for democratic reform. In part this demand had been flamed by the proliferation of independent media that has made political analysis accessible to citizens and opened politicians and parties up to greater scrutiny. Citizens, particularly from the urban middle class, who in the past were content to vote for parties on the basis of their charismatic leaders alone, are now more politically aware and have begun to ask questions of their leaders. For example, then President Musharraf's 2007 suspension of Chief Justice Iftikhar Muhammad Chaudhry sparked extended and highly publicized protest on the part of lawyers and opposition political parties, eventually leading to a return to civilian rule.

In the aftermath of the 2008 General Election, the Pakistan People's Party (PPP) and the Pakistan Muslim League-Nawaz (PML-N) agreed to form a government with Yusuf Raza Gilani as the Prime Minister. The Awami National Party (ANP) and two other ethnically-based regional parties also joined this coalition, making the present government among the most representative that Pakistan has ever had. While PML-N left the coalition in May 2009, it declared that it would vote with the coalition parties on an issue-by-issue basis. There appears to be greater consensus on the need to play by the political rules of the game in order to preserve the current democratic set up. For example, the PPP and PML-N have made good on some of the promises made by their respective leaders, the late Benazir Bhutto and Nawaz Sharif, in their 2006 Charter of Democracy. The 18<sup>th</sup> Amendment was passed in April of 2010 marking the first time that a Pakistani president has relinquished significant powers.

Today's Pakistan represents a unique opportunity for democratic development that, if supported on multiple fronts, could result in a sustainable transition and in a coordinated, effective, and transparent flood recovery and reconstruction effort. The incentive structures within which political parties operate have changed to a degree, providing a potential opening for a program designed to assist parties to better contribute to inclusive and representative policy-making, strengthen their grassroots chapters, and democratize their internal systems, thereby enhancing their credibility and inspiring the trust and confidence of citizen's in their ability to fulfill their roles.

### III. Proposed Activity Interventions and Expected Outcomes

#### A. Goal and Objectives

**Goal:** Enhanced ability of political parties to contribute to democratic policy-making and governance processes at the national and local levels in a more open, research-driven and representative manner and thereby generate greater public trust and confidence in their ability to govern and effect positive policy change.

**Objectives:** The program will support political parties' capacity to:

- conduct their own research, analysis and training for the formulation of increasingly responsive and informed platforms and policies;
- contribute more actively and effectively in the policy-making of government institutions such as legislatures and commissions;
- communicate more effectively with their members, constituents and the general public at the national and local levels, both in terms of articulating messages and aggregating and responding to concerns, requests and ideas;
- demonstrate movement towards implementing internationally recognized standards for internal democracy and transparency.

Improved democratic governance is fundamental to all long-term development and stability efforts in Pakistan and plays a vital role in supporting many short-term objectives, including the development and execution of a national plan for flood recovery and rebuilding. Planned USAID democracy and governance programming will promote key reforms within the governance system, such as improved basic service delivery, enhanced civil society advocacy and oversight and more credible electoral processes. Reforms in other governance areas, such as court administration, also continue with both Pakistani and international community commitment.

If political parties, as central actors in the governance process in Pakistan, do not transform along with the other components in the political sector, overall reform objectives will suffer. Political parties act as catalysts and organizers throughout the governance system, from interacting with constituents and aggregating their interests and concerns to coalescing support for policies through caucuses in parliaments.

The current political environment suggests that national polls to be held no later than 2013 are likely to be increasingly competitive, giving parties an incentive to find a way to distinguish themselves, perhaps through increasingly democratic means. Local elections are likely to be somewhat delayed as a result of the flood crisis but are expected to be held on a party-basis, offering parties a reason to strengthen their structures at the local level. USAID's political party programming can contribute to elections that are more focused on policies and less on individuals. These efforts can also promote strengthened communication between party representatives and their members and constituencies, and within the institutions in which they operate.

## **B. Selection of Political Party Partners**

USAID's policy is to work with all significant parties in a given country. The policy states: "USAID programs must make a good faith effort to assist *all democratic* parties with equitable levels of assistance. Assistance to non-democratic political parties is prohibited. Where there are too many democratic political parties to assist all effectively, USAID will assist *all significant* democratic parties. The relevant U.S. Government mission will determine which parties are significant."<sup>2</sup>

Currently there are 110 registered parties in Pakistan, too many to assist effectively. USAID/Pakistan has defined "significant" parties as those that have representatives who have been directly elected to serve in the National Assembly and/or one or more of the four provincial assemblies.<sup>3</sup> This constitutes a universe of 10 parties including:

- Pakistan People's Party (PPP)
- Pakistan Muslim League—Nawaz (PML-N)
- Pakistan Muslim League-Quaid-e-Azam (PML-Q)
- Muttahida Quami Movement (MQM)
- Awami National Party (ANP)
- Jamiat Ulema-e-Islam Fazl-ur-Rehman Group (JUI-F)
- Pakistan Muslim League-Functional (PML-F)
- Baluchistan National Party-Awami (BNP-A)
- Pakistan People's Party-Sherpao (PPP-S)
- National Party (only in the Baluchistan Assembly)

USAID would be open to evaluating the possibility of including other parties should they meet the criteria established above based on the results of national and provincial elections that take place during the period of this cooperative agreement.

## **C. Program Components and Illustrative Activities**

For each program component, guidelines on expected results and illustrative activities are given below to provide technical context. However, the illustrative activities are not to be considered exhaustive, and USAID/Pakistan will expect applicants to provide their own discussion of the technical approach to be undertaken under the cooperative agreement, as well as a description of activities that they believe will best contribute to the overall goal of the program. It is expected that program activities will be undertaken in all four provinces of Pakistan (Balochistan, Khyber Pakhtunkhwa, Punjab, and Sindh).

### **1. Strengthening Research, Policy Analysis and Training Units in Political Parties**

In policy-making and agenda-setting in Pakistan, there is a lack of data analysis on important subjects of national interest, partially due to the weak to non-existent research and analysis capabilities of political parties. Consequently, when political parties come to power they fail to adequately address critical problems of social and economic

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<sup>2</sup> USAID Political Party Assistance Policy, September 2003.

<sup>3</sup> Although there are a number of parties that have representation in the National Senate via indirect election, they do not meet USAID/Pakistan's criteria for "significant" political parties.

development. There is a desperate need for parties to become more issues-based and to present clear and well-informed alternatives to the electorate rather than continue to be individual-driven or regionalized entities without a comprehensive vision of how the country should be governed. This transformation requires that parties develop the capacity to conduct research, policy analysis and training of their members.

Proposed programming will include technical and material assistance to parties to establish new - or strengthen existing - research and training units, with the long-term goal that parties would be able to formulate clear policy agendas, use research to track and investigate emerging public priorities, and provide general leadership development to their members.

Initial support could include a basic orientation for all significant parties on how data and independent research can be used to develop constituent-oriented policies and platforms. Specialized assistance could subsequently be provided for parties that choose to participate and demonstrate a commitment to create or strengthen their own research, analysis and training units. Technical support could also be provided for a broad array of activities including courses on topics such as research methodologies, policy formulation, polling, consensus-building, agenda-setting and effective communication and outreach. Another potential activity could be exposure to other countries in the region and elsewhere where parties have developed strong research and analysis capabilities.

An effort should be made to focus research-related trainings and other interventions on particular issues of current relevance and/or pending legislation such as flood prevention and disaster management so that parties can develop capacities and skills at the same time as they are contributing to dialogue and debate around critical issues. Where appropriate, the program could serve as a convener to bring parties together to discuss, debate, and develop consensus on policies (whether on national disaster or reconstruction issues, social development, taxation or political reforms).

An emphasis should also be placed on the participation of women party leaders and members in all trainings and activities related to research and policy development. This is particularly important as women are often marginalized within political parties and not given responsibilities in substantive areas such as policy development. This would also give women an avenue to express their opinions on policies that directly impact them or the lives of their families such as domestic violence or education for girls. Efforts should be made to incorporate other traditionally marginalized groups such as youth and minorities in research-related activities.

## **2. Development of Political Parties and Engaging Citizens at the Local Level**

Historically, political parties in Pakistan have neglected their local branches and, as a result, have been out of touch with the concerns of citizens at the grassroots level. Party policies are generally formulated at the top level and on the basis of the personal preferences of a small group. Therefore, strengthening of party branches at district, tehsil and union council levels could significantly contribute to the overall development of political parties at the macro level by creating a demand for representation, more inclusive decision-making, and increased accountability to local branches and concerns. Local branches could be assisted to develop input into broader party policies and

platforms being developed at a national level and to help broadcast messages from the national level to local members and constituents. Party branches could also be assisted to monitor flood reconstruction efforts by providing updates on local conditions, ensuring that funds are being used appropriately, and ensuring that the needs and concerns of citizens are given full consideration as decisions are being made.

Priority training areas could include: constituent outreach, internal communications, use of informal polling for data-driven platform and policy development, and the cultivation of new leadership. Training could be supplemented with regional exchanges, internships with national level parties or specialized assistance. Standardized competitive criteria for the selection of participants in any specialized training would be set by USAID and its implementing partner(s), not the political parties, to ensure the quality and individual merit of participants and mitigate participation from being used as a form of patronage. An emphasis would be placed on the representation of women and other traditionally marginalized groups in all trainings to ensure that they are also engaged in policy development and have the opportunity to enhance their skills, advocate their positions, and advance within their respective parties.

To highlight the important role civil society can and should play in the political process at the local level by serving as watchdogs, advocates, and catalysts for reform, assistance may also be provided to local NGOs and community-based organizations to build their connection to parties through USAID's forthcoming civil society program. Priority areas could include research-based advocacy, effective lobbying, communications, public outreach and message development in order to facilitate public discourse and assert pressure on parties for fundamental democratic reform. Implementing partners could assist political party partners to work with appropriate local groups to organize events such as community dialogues and debates that provide opportunities for local party representatives to present their views and listen to the concerns of citizens.

### **3. Establishment of an Independent Public Opinion Research Facility**

Reliable, professional public opinion research can be a valuable tool for political parties; however, large, professionally-designed and executed polls are expensive to conduct, especially those that capture longitudinal data and trends over time. Many Pakistani political parties tend to either use low-quality data, or no polling data at all, which impedes their ability to develop responsive policy positions and plan campaigns. Lack of sound research can also lead to unrealistic expectations, particularly with respect to likely election results, thereby contributing to the likelihood that parties will reject results and encourage their members to protest.

An independent public opinion research facility could help to address these problems. While the International Republican Institute (IRI) has been carrying out research for several years, there is limited local capacity to continue this function over the long-term. Funding may be provided for a partnership with one or more private-sector Pakistani public opinion research firms, universities, independent think tanks, or suitable NGOs to develop this specialized research capacity. While building the capacity of a local organization to conduct specialized research would be an objective of the program, the emphasis would be on producing information of use to Pakistani political parties and assisting them to use it. All interested significant parties would eventually be involved in helping to develop themes for research discussion guides and questionnaires to ensure

that the resulting information is relevant and to help them develop an understanding of the research process itself. Part of this activity could also involve training for the parties on how to understand, interpret, and use the data available to shape policy platforms, set agendas, or execute public education, outreach or advocacy campaigns.

#### **4. Engaging Political Parties on Internal Democracy and Transparency**

While a sensitive and difficult issue where little “quick impact” is anticipated, establishing mechanisms for internal democracy and transparency within party structures is essential to wider long-term governance reforms. Without such internal changes, personality-driven political parties are likely to hinder other reform efforts, as evidenced now in the lack of strong party leadership and clarity of purpose (agenda setting) in addressing flood relief and reconstruction. Limited funding will be made available for innovative approaches to address the fundamentals of democratic party structures and effective methods for broad member participation in decision-making, especially through, but not limited to, exposure to internationally recognized standards for internal democracy and transparency in political parties.

By working with parties to develop more representative and relevant policies and platforms and by building the capacity of local branches to engage with citizens and with their national party secretariats, the proposed program will be implicitly contributing to internal reform of a democratic nature. Should parties express a genuine willingness to address shortcomings related to the way they are currently governed, targeted technical assistance could be provided in areas such as candidate selection procedures, participatory decision-making, internal structures, and mechanisms for better incorporating marginalized groups such as women, youth, and minorities.

#### **IV. Implementation Plan and Partners**

This program will be procured through a full and open competition for a cooperative agreement with a qualified international or Pakistani partner. A consortium approach could also be considered where there is a prime designated as principally responsible for program implementation.

USAID/Pakistan will launch the program for an initial two-year period, at which point an independent evaluation will be conducted to assess performance and impact, determine whether the program should be continued and, if so, inform the direction of follow-on activities. It will also be necessary to reassess the political environment two years into the program to determine whether there have been changes related to incentive structures for reforms, the legal environment, etc. that should be reflected in subsequent activities. The objective of this approach is to allow for maximum flexibility and to support the attainment of tangible results from USG political party funding.

#### **V. Performance Monitoring and Illustrative Indicators**

Monitoring of and managing for results are key elements of USAID programs. USAID seeks data and information to improve performance and effectiveness as well as to inform planning and management decisions. Accurate and timely monitoring will enable the project to adapt to changing conditions and make mid-course corrections, as necessary.

Applicants will develop and submit (as a part of this application) an overarching draft performance monitoring plan (PMP) that will assist with managing and monitoring and evaluating all activities, as well as reporting results through the use of indicators and targets. Performance indicators will measure outputs, outcomes and results and include timelines, methods, and budgets for developing baseline and target data; frequency of data collection; and method of analysis. The PMP should include performance measures that can be used to capture the overall expected results in addition to indicators specific to the PPDP. Applicants should review the Foreign Assistance Framework standard indicators and include those that they believe are applicable to the proposed political party development program. Standard indicators are available at: <http://www.state.gov/f/indicators/index.htm> The PMP should also lay out objectives concerning gender and address how interventions that address gender concerns will be integrated throughout the components and activities. Sex-disaggregated data also must be available to demonstrate any impact attributable to USAID programs. The PMP will be subject to approval by the Agreement Officer's Technical Representative (AOTR).

Annual work plans, subject to USAID review and approval, and quarterly interim reports should reflect the results-based approach used in the PMP. The PMP should allow for periodic review with beneficiaries, partners and counterparts. Quarterly reporting of results will be required, including progress of initiatives, achievements, problems encountered, proposed solutions and budget status.

Implementing partners will be encouraged to use polling and other public opinion research as an evaluative measure. For example, an initial poll should be used to set a baseline for the confidence of citizens in political parties in general, as well as in specific parties. Subsequent public opinion research should be used to track levels of confidence over the life of the project. Research should be used to understand key issues and impacts of the program.

#### **A. Program Objectives**

This program's objectives are to develop the capacity of political parties to:

- conduct their own research, analysis and training for the formulation of increasingly responsive and informed platforms and policies;
- contribute more actively and effectively in the policy-making of government institutions such as legislatures and commissions;
- communicate more effectively with members, constituents and the general public at the national and local levels, both in terms of articulating messages and aggregating and responding to concerns, requests and ideas; and
- demonstrate movement towards implementing internationally recognized standards for internal democracy and transparency.

#### **B. Expected Results/Metrics**

Some illustrative expected results are as follows:

- Political parties increase their use of research and analysis such as polling in the elaboration of platforms and policies that reflect the interests and concerns of citizens.

- Research/training units are established and/or existing research/training capacities strengthened.
- Political parties increase direct engagement with their members and with citizens in the development of policy positions at the local, provincial, and national levels (e.g., consultative conferences).
- Parties increasingly develop political platforms based on engagement with citizens and party members.
- Parties increase the use of competitive and transparent selection mechanisms such as internal elections to select party candidates/leaders.
- When appropriate, political parties engage each other in serious discussions and negotiations on policy issues.
- Women party members get increased exposure to substantive areas of party work such as policy development thereby enhancing their ability to advance within their parties and advocate for their positions.

This list is not exhaustive and serves only as an illustrative starting point for applicants to expand upon.

## **VI. Program Emphasis**

The table below is an example of the desired emphasis for each program result. The suggested percentages are illustrative and meant only to serve as a guideline for allocating resources to each of the PPDP results.

Strengthening Research, Policy Analysis and Training Units in Political Parties:	40%
Development of Political Parties and Engaging Citizens at the Local Level:	20%
Establishment of an Independent Public Opinion Research Facility:	25%
Engaging Political Parties on Internal Democracy and Transparency:	15%

## **VII. External Evaluations**

At any time during program implementation, USAID/Pakistan may conduct one or more evaluation(s) to review overall progress, assess the continuing appropriateness of the project design, and identify any factors impeding effective implementation. USAID/Pakistan will contract with an independent evaluator to assess and substantiate performance and overall achievements under the PPDP objectives at the end of the second year of the program. This external evaluation will be funded directly by USAID and will not be included in the funding of this Agreement. Assuming that the project is continued as a result of the findings of the mid-term evaluation and pending available funding, USAID/Pakistan also proposes to directly fund a final independent evaluation to assess the impact of the five-year program, identify lessons learned, and inform future programming.

**[END OF SECTION C]**

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

### **PART I – AWARD**

#### **1. ADMINISTRATION OF AWARD**

Awards will be made in accordance with the USAID Standard Provisions and other applicable U.S. Government regulations, which are available on the USAID web site (<http://www.usaid.gov/pubs/ads>). The award will be administered under the 22 CFR 226, applicable OMB Circulars and the USAID Standards Provisions, as applicable.

#### **2. AUTHORITY TO OBLIGATE THE GOVERNMENT**

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

#### **3. COOPERATIVE AGREEMENT AWARD**

The Government may award the resulting cooperative agreement(s) on the basis of initial applications received without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, sex, religion, ethnicity, gender, and political affiliation.

#### **4. ESTIMATE OF FUNDS AVAILABLE**

Subject to the availability of funds USAID intends to provide approximately \$21,500,000 in total funding for the life of the activity (five years). Applicants should note that while a five-year \$21.5 million program is anticipated, USAID reserves the right to terminate the agreement after the

initial two-year period, should the findings of an independent evaluation suggest that there has been little impact and/or the political environment is not conducive to political party development.

## **5. TYPE AND NUMBER OF AWARDS**

Although it is planned to make an award of one Cooperative Agreement under this RFA, USAID/Pakistan in its discretion may make awards to more than one organization if determined to be in the best interest of the Government. A consortium approach may also be considered.

Note: The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

## **6. START DATE AND PERFORMANCE PERIOD**

USAID anticipates making an award in May 2011. The period of performance anticipated herein is five (5) years. As noted above, while a five-year \$21.5 million program is anticipated, USAID reserves the right to terminate the agreement after the initial two-year period, should the findings of an independent evaluation suggest that there has been little impact and/or the political environment is not conducive to political party development.

## **7. USAID MANAGEMENT**

The cooperative agreement for the PPDP will be managed by the Office of Democracy and Governance (DG) of USAID/Pakistan. The Agreement Officer will assign an Agreement Officer's Technical Representative (AOTR) who will handle day-to-day oversight of the Agreement and manage the overall activity. The Agreement Officer and AOTR will retain substantial involvement for activities conducted directly under the award. The AOTR will regularly meet with project senior leadership and staff to track program and activity design, implementation, progress, and evaluation; and conduct periodic management reviews and budgetary analysis.

## **8. SUBSTANTIAL INVOLVEMENT**

USAID considers collaboration with the Recipient crucial for the successful implementation of this project. A Cooperative Agreement implies a level of "substantial involvement" by USAID through the AOTR or the Agreement Officer. The intended purpose of USAID involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. USAID expects to be substantially involved in the cooperative agreement in the following ways:

- Review and approval of the work plan (and concurrence on major variances, if applicable).
- Review and approval of recipient's key personnel.
- Concurrence with selection of any sub-grant or sub-award recipients. The recipient is required to obtain USAID's prior approval for the subaward, transfer, or contracting out of work under this award. The USAID will provide concurrence on the substantive

provisions of subawards.

- Review and approval of the monitoring and evaluation plans.
- USAID monitoring to permit specified kinds of direction or redirection because of interrelationships with other projects.
- Collaborative involvement in an advisory committee for the activity.

Where there are specific elements in the proposed program for which USAID's technical knowledge would benefit the recipient's successful accomplishment of stated program objectives, the direct provision of USAID expertise and ongoing USAID participation in the program could be authorized.

## **9. PLACE OF PERFORMANCE**

The place of performance for this program is throughout Pakistan's four provinces (Balochistan, Khyber Pakhtunkhwa, Punjab, and Sindh).

## **10. AUTHORIZED GEOGRAPHIC CODE**

The authorized geographic code for procurement of goods and services at present is 935. USAID has a waiver for this authorization which is valid till September 2011.

## **11. TITLE TO PROPERTY**

USAID will instruct the awardee on disposition of property in accordance with 22 CFR 226.30 to 226.37.

## **12. BRANDING STRATEGY AND MARKING PLAN**

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

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "apparent successful applicant," as defined in the regulation. The apparent successful applicant's proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in [22 CFR 226.91](#). The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in [AAPD 05-11](#) and in [22 CFR 226.91](#). Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see [22 CFR 226.91\(j\)](#). See Section D.6.

### **13. REPORTING REQUIREMENTS**

Applicants are advised that periodic performance reports will be required under the resulting Cooperative Agreement. Requirements for periodic performance reports are contained below and supplement the requirements of 22 CFR 226.51. After award, the exact format for preparation of and timing for submission of all reports shall be proposed by the recipient and concurred by the AOTR. Applicants are reminded to budget prudent and adequate resources for completing the required reporting.

The recipient will adhere to all reporting requirements listed below. All reports are required under Substantial Involvement and shall be submitted by the due dates. Additional reports requiring review and clearances, when necessary, are listed under each requirement.

#### **A. Financial Reporting**

Financial reporting requirements will be in accordance with 22 CFR 226.52. The grantee shall submit to the USAID AOTR, a quarterly financial report that specifically includes the SF-425, SF-424 line item budgets, expenditures and accruals and a pipeline (balance remaining). This table with expenditures and accruals shall be submitted to the AOTR no less than 15 days before the end of each (USAID) fiscal year quarter throughout the life of the project.

#### **B. Performance Monitoring and Reporting**

The recipient will submit reports to the USAID AOTR as described below:

##### **1. Annual Work Plan**

The Recipient will submit an initial first year work plan for USAID's review and approval within thirty (30) days from the award of the Agreement. The Recipient shall submit annual work plans at the beginning of each program year (for example, year two in month 13). The work plan serves several purposes including a guide to program implementation, a demonstration of links between activities, strategic objectives and intended results, a basis for budget estimates and the foundation for the monitoring and evaluation plan.

The work plan will include a general timeframe and description of activities that are intended to address and achieve the specific objectives of the program. Work plans shall be organized to clearly link activities to the expected results. Additionally, the work plan budget shall delineate an overall budget and the budget per activity showing fully loaded costs.

The work plan, at a minimum, shall include:

- Brief situational analysis in the context of what other donors and implementing partners are contributing;
- Life-of-program results;
- Milestones (or benchmarks) toward achieving those results over the duration of the program;
- Partner involvement and contributions to achieving the results;
- Budget; and,

- Timeline.

Annual review of work plans will provide USAID an opportunity to update information and provide collaborative input as appropriate on specific activities, sites of operation, expected results and milestones for each 12-month period. This information is an essential element of the effective USAID project and program management. These plans will form the basis for an annual management review by USAID and program staff to review program directions, achievements and the prior year implementation plan objectives and major management and implementation issues, and to make recommendations for any changes as appropriate. Approval of the work plan will also provide USAID an opportunity to ensure that proposed activities are in conformance with statutory requirements. The work plan will include the list of activities to be implemented during that year. Any changes to the list of approved activities will require additional approval.

## 2. Performance Monitoring Plan (PMP)

Within 60 days of the signing of the award, the recipient, in consultation with USAID, shall finalize the PMP for the project, including final selection of indicators, baseline data needs and establishment of program targets. In addition to internal project impact and monitoring indicators for the recipient's use, relevant Foreign Assistance Framework standard indicators should also be included in the PMP. **Please note that an initial PMP should be submitted with the application.**

Applicants should review the Foreign Assistance Framework standard indicators and include those that they believe are applicable to the proposed political party development program. Standard indicators are available at: <http://www.state.gov/f/indicators/index.htm>

## 3. Quarterly Performance Monitoring Reports

The recipient shall submit a performance monitoring report on progress toward agreed performance targets every three (3) months, based on the PMP to be further developed by the recipient in collaboration with USAID. The recipient shall comply with the performance reporting requirements in accordance with 22 CFR 226.51. Reports should be submitted to the AOTR no later than 30 days after the end of each quarter. This will include information on program activities undertaken in the reporting period and those planned for the following three (3) months. Reports must also include the following: 1) explanation of quantifiable output of the programs or projects, if appropriate and applicable; 2) reasons why established goals were not met, if appropriate; and 3) analysis and explanation of cost overruns or growing pipelines (recipients must immediately notify USAID/Pakistan of developments that have a significant impact on award-supported activities). Further, notification must be given immediately in the case of problems, delays or adverse conditions which materially impair the ability to meet the objectives of the award. These notifications must include a statement of the action taken or contemplated and any assistance needed to resolve the situation.

## 4. Annual Progress Report

Within 30 days of the end of every year of program implementation, the recipient shall submit an annual report in lieu of the quarterly report. The annual progress report will explain in detail the progress during the last year in achieving the results and performance benchmarks identified. The annual report shall be similar in format to the quarterly reports, but include an additional section summarizing achievements and expenditures for the entire year.

## 5. Final Report

Within 90 calendar days after the completion date of this Cooperative Agreement the recipient shall submit a final report as specified in 22 CFR 226.51. The final report shall include an executive summary of the grantee's accomplishments in achieving the results and a detailed description of the project's successes and measurable impact, including lessons learned.

In addition, the final report shall include the following information:

- A detailed description of the activities that were implemented under the program during the period of the award;
- A description of the methods of assistance used and the pros and cons of these methods;
- Project results and a discussion of project achievements including the performance indicators, as well as an analysis of how the indicators illustrate the project's impact on Pakistani political parties;
- Discussion of the issues and challenges that emerged during program implementation;
- Lessons learned during the implementation of the activities within the life of the award; and
- Recommendations regarding any unfinished work and/or program continuation and direction, as well as recommendations to the Mission on ways in which it can maximize and improve its engagement with political parties through other USAID-funded projects.

### **C. Distribution of Reports**

Reports required as described in this section will be sent to the AOTR. Reports and intellectual products required above will also be submitted to the USAID Development Experience Clearinghouse either electronically via e-mail (the preferred means of submission) to [docsubmit@dec.cdie.org](mailto:docsubmit@dec.cdie.org) or in hard copy via U.S. Postal Service to Development Experience Clearinghouse, M/CIO/KM, RRB M.01, U.S. Agency for International, Development, Washington DC 20523, Fax: (202) 216-3515, Phone: (202) 712-0579.

The recipient shall submit an original of the final report to the AOTR and one copy to the USAID Development Experience Clearinghouse.

## **PART II - SPECIAL PROVISIONS**

### **1. VALUE ADDED TAX (VAT) AND CUSTOM DUTIES**

Pursuant to agreements with the Government of Pakistan (GOP), all imports and expenditures under this award by the Grantee/Recipient and by non-local subgrantees and subcontractors (as defined below) will be exempt from Value-Added Tax (VAT) and customs duties imposed by the GOP. Therefore, in accordance with paragraph 51 of OMB Circular No. A-122, Attachment B, such VAT and customs duties shall not constitute allowable costs under this award.

The Recipient and any non-local subgrantees or subcontractors shall make reasonable efforts to avoid Pakistani VAT at the point of sale by obtaining 0% VAT exemption. USAID will assist the Recipient to obtain zero percent (0%) VAT status from the GOP. The Recipient shall use this exemption to avoid paying any GOP VAT to local subcontractors and vendors by obtaining approval from the GOP VAT Department for suppliers to issue 0% VAT invoices.

In cases where VAT cannot be avoided, the Recipient shall obtain original VAT receipts from the vendors. Receipts must be submitted to USAID's Financial Management Office on a monthly basis to enable USAID to process refund claims with VAT authorities. The Grantee/Recipient is responsible for ensuring that subgrantees or subcontractors comply with this requirement.

All VAT claims for the subgrantees and subcontractors shall be submitted to USAID through Grantee/Recipient. Receipts for subgrantees and subcontractors must be addressed to the project name / name of the Grantee/Recipient to enable USAID to claim refunds.

Recipients that already have exemption mechanisms in place with the GOP should continue to follow those procedures. Any refund of taxes received directly by the Recipient which were allowed as award costs, should be credited either as a cost reduction or cash refund, as appropriate, to USAID.

"Non-local subgrantees and subcontractors" means subgrantees and subcontractors that are present in Pakistan solely for the purpose of performing work financed by USAID or other tax-exempt foreign donors.

### **2. REPORTING OF FOREIGN TAXES**

- (a) The awardee must annually submit one report by April 15 of the next year. The reporting period will cover from October 1 to September 30.
- (b) Contents of Report. The reports must contain the following information:
  - (i) Recipient name.
  - (ii) Contact name with phone, fax and email.
  - (iii) Award number(s); separate report needs to be provided for each award.
  - (iv) Amount of foreign taxes assessed by the GOP on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year.
  - (v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance are to be reported. Foreign taxes by a third party foreign government are not to be reported.

- (vi) Any reimbursements on the taxes reported in (iv) received by the recipient through March 31. Any refund from the GOP that is received directly by the awardee should be reflected. For refunds processed by USAID, we will fill in the VAT refunded amount. If a VAT refund receipt was provided to USAID for refund processing the awardee will need to provide the month under which the claim was submitted to USAID and the serial number of the invoice as included in the claim.
  - (vii) Reports are required even if the recipient did not pay any taxes during the report period.
  - (viii) Cumulative reports may be provided if the recipient is implementing more than one program in a foreign country.
- (c) Definitions. For purposes of this clause:
- (i) "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.
  - (ii) "Commodity" means any material, article, supply, goods, or equipment.
  - (iii) "Foreign government" includes only a GOP entity.
  - (iv) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.
- (d) Where. Submit the reports by either of the following means:  
E-mail attachment (preferred): BMansoor@usaid.gov
- (e) Subagreements. The awardee must include this reporting requirement in all applicable subcontracts, subgrants and other subagreements.
- (f) For further information see <http://www.state.gov/m/rm/c10443.htm>

### **3. SUBCONTRACTING WITH GOVERNMENT OR QUASI-GOVERNMENT ENTITIES**

No subcontracting with any government or quasi-government entity shall be conducted under this Agreement unless a specific waiver is approved for this purpose.

### **4. CAPITAL ASSISTANCE (611E REQUIREMENTS)**

Prior to committing any USAID funds for capital assistance projects proposed under this agreement, including mechanical items and other equipment that will be purchased for use by local partners, the Recipient will provide USAID with sufficient information to determine that Pakistani counterpart institutions and communities have the capacity to maintain and utilize the assistance effectively. Upon review and analysis of information provided, USAID/Pakistan will advise the Recipient when and if all AID regulations for proceeding with capital assistance activities have been met.

### **5. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)**

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with

disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.”

## 6. 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 AOTR or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

### **(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 **30 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 of this 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 AOTR.

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.

### **7. GEOGRAPHIC INFORMATION SYSTEM (GIS)**

In support of USAID/Pakistan's GIS initiative, the Recipient may be requested to report and provide GIS related information on all USAID-funded activities upon USAID/Pakistan's implementation of the GIS program. Following notification by USAID of the commencement of this GIS program, the Recipient will:

- a. Submit an initial GIS report within 30 days from notification with follow-on reports following every thirty (30) days (monthly) thereafter. Reports will be recorded in the GIS based on sector and subsector, or program area and program element.
- b. The Recipient will be required to report on a number of fields of data. Data will include, as a minimum, for all locations for each program/project: the GPS coordinates (longitude, latitude and elevation) of each program/project activity, the activity type and location, and the related performance indicators. Reports are to be provided in the form and format outlined by USAID/Pakistan/PRM and, as well, will be available at the internet portal once the portal is established. Registration for access to the portal and questions regarding the use of the GIS web site and reporting are to be directed to USAID/Pakistan/PRM.
- c. Upon establishment of access for Recipient staff to the GIS portal, the staff will be provided GIS training by USAID/Pakistan. This training will be directed toward basic functions of the GIS and enabling the Recipient to add/update activities on the GIS system. The Recipient will appoint a member of its staff for training, as responsible for executing the GIS reports, to serve as liaison with USAID, and participate in GIS working groups.

- d. The Final Report will reflect that all activities have been fully GIS reported. Close out actions will not be concluded until such reporting has been completed. GIS reports will be submitted in the form and format prescribed by USAID/Pakistan through the AOTR or, if available, the cited internet portal.

**8. IMPLEMENTATION OF E.O. 13224 – EXECUTIVE ORDER ON TERRORIST FINANCING (MARCH 2002)**

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

**9. EQUAL PROTECTION OF THE LAWS FOR FAITH-BASED AND COMMUNITY ORGANIZATIONS (December 2009)**

- a. All the requirements of 22 CFR Part 205, Participation By Religious Organizations In USAID Programs, are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in 22 CFR Part 226. The requirements of 22 CFR Part 205 apply to both religious and secular organizations.
- b. If the recipient makes subawards under this agreement, faith-based organizations must be eligible to participate on the same basis as other organizations, and must not be discriminated for or against on the basis of their religious character or affiliation.
- c. The recipient must not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services directly funded with financial assistance from USAID. If the recipient engages in inherently religious activities, such as worship, religious instruction, and proselytization, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary. These restrictions do not apply to programs where USAID funds are provided to chaplains to work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.
- d. The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities. Where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities in accordance with applicable cost accounting principles. Sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship are ineligible for acquisition, construction, rehabilitation, or improvements using USAID funds.
- e. The recipient may not discriminate against any beneficiary or potential beneficiary under this award on the basis of religion or religious belief. Accordingly, in providing services supported in whole or in part by this agreement or in its outreach activities related to

such services, the recipient may not discriminate against current or prospective program beneficiaries on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to actively participate in a religious practice.

- f. When the recipient is a religious organization, the recipient
- (1) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities, such as worship, religious instruction, or proselytization.
  - (2) Retains its authority over its internal governance and may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.
  - (3) Retains its exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702(a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1.
  - (4) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols.
- g. The Secretary of State may waive the requirements of this provision in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States.

## 10. SECURITY COMPLIANCE

It is imperative that all security incidents be reported **immediately** to the AOTR and the USAID Safety and Security Office. A security incident could be defined as a kidnapping, ambush, verbal or written threat, suspicious person/incident etc. E-mail is the preferred method of communication to report the incident. A written report should be completed and submitted within 24 hours. The report should contain the name of the company, name of the victim(s), date, time, a description of what happened, where the incident occurred, and any other relevant details surrounding the incident. If this is an ongoing incident, progress reports should be submitted to keep USAID security personnel apprised of the situation.

## 11. ENVIRONMENTAL COMPLIANCE

1a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Applicant environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

1b) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1c) No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

An environmental threshold determination for activities under this Cooperative Agreement was approved in an IEE dated July 30, 2010. All activities under the PPDP limited to technical assistance, education, training; analyses, studies, and workshops; document and information transfer; and activities that will develop the capability of recipient countries to engage in development planning will not have any adverse effect on the natural or physical environment and such activities are recommended for **Categorical Exclusion**, pursuant to 216.2(c)(2)(i); 216.2(c)(2)(iii); (216.2(c)(2)(v); and 216.2(c)(2)(xiv).

The potential procurement of computers and other commodities necessary to conduct research such as printers, modems, and photocopiers for the research and training units of political parties under the PPDP will have a minor to moderate effect on the adverse physical environment and is recommended for **Negative Determination with Conditions**.

Potential awardee(s) is/are subject to the environmental compliance as mentioned above.

## 12. STANDARD PROVISIONS

All applicable standard provisions shall be incorporated into the resultant award. The standard provisions for U.S., Non-US Nongovernmental and other applicable references may be accessed at the following locations:

- ADS Series 300 Acquisition and Assistance  
<http://www.usaid.gov/pubs/ads/>
- Standard Provisions for Non-U.S., Nongovernmental recipients  
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- Standard Provisions for U.S. Nongovernmental Recipients  
<http://www.usaid.gov/policy/ads/300/303maa.pdf>
- Standard Provisions for PIO recipients can be accessed through the following URL  
<http://www.usaid.gov/policy/ads/300/308mab.pdf>
- 22 CFR 226  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)
- OMB Circular A-122  
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

- OMB Circular A-110  
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

**[END OF SECTION D]**

## **SECTION E - CERTIFICATIONS, ASSURANCES OF APPLICANTS**

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS [1] [2]

[To be submitted as part of an Applicant's cost proposal. To be signed by an authorized agent of the applicant at the end of this Section E.]

### **PART I - CERTIFICATIONS AND ASSURANCES**

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

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

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

## **2. CERTIFICATION REGARDING LOBBYING**

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

### **Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in

accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

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

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

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Name \_\_\_\_\_  
Organization \_\_\_\_\_

**4. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

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

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title/Position: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Address: \_\_\_\_\_  
Date of Birth: \_\_\_\_\_

NOTICE:

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

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

## **5. CERTIFICATION REGARDING TERRORIST FINANCING**

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

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

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

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

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

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

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

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

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

Name of Organization: \_\_\_\_\_

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

## 6. SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

<http://www.usaid.gov/forms/surveyeo.doc> contains a survey on ensuring equal opportunity for applicants. The applicant's completion of the survey is voluntary. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process; applicants who chose to submit the survey shall include it in the technical application in the "annexes" section.

## PART II - OTHER STATEMENTS OF RECIPIENT

### 1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.	Email Address
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### 2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

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

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

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

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

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

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

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

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

If the recipient has an existing Letter of Credit (LOC) with USAID or another US federal agency, please indicate the LOC number:

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

#### 5. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as  a corporation incorporated under the laws of the State of \_\_\_\_\_,  an individual  a partnership,  a non-governmental nonprofit organization,  a state or local governmental organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or

(b) If the recipient is a U.S. entity, it  is,  is not a Gray Amendment entity, as defined below.

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

(d) If the recipient is a non-U.S. entity, it operates as  a corporation organized under the laws of \_\_\_\_\_ (country),  an individual,  a partnership,  a nongovernmental nonprofit organization,  a

nongovernmental educational institution, [ ] a governmental organization, [ ] an international organization, or [ ] a joint venture.

**6. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

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**7. PROCUREMENT INFORMATION**

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

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

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

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. [Note that the authorized geographic code under the resulting award will be 935:]

Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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**8. CERTIFICATION OF RECIPIENT**

The recipient certifies that it has reviewed and is familiar with the proposed cooperative agreement format (as per below) and the regulations applicable thereto, and that it agrees to comply with all such regulations.

Solicitation (RFA) No. \_\_\_\_\_

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

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

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

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

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**[END OF SECTION E]**

## **SECTION F- ATTACHMENTS**

**ANNEX A:** Past Performance Information Form

**ANNEX B:** Sample Format for Initial Security Plan

### **SF- 424 FORMS**

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

These forms can be downloaded from the website: <http://www.usaid.gov/forms/sf424.pdf>

**[END OF SECTION F]**

**Annex A**

**PAST PERFORMANCE INFORMATION**

<b>PERFORMANCE REPORT - SHORT FORM</b>
<b>PART I: Award Information (to be completed by Prime)</b>
1. Name of Awarding Entity:
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if sub-agreement, sub-agreement value)
5. Problems: (if problems encountered on this award, explain corrective action taken)
6. Contacts: (Name, Telephone Number and E-mail address)
6.a. Agreement Officer:
6.b. Agreement Officer Technical Representative (AOTR):
6.c. Other:
7. Recipient:
8. Title/Brief Description of Product/Service Provided:
9. Information Provided in Response to RFP No. :
<b>PART II: Performance Assessment (to be completed by Agency)</b>
1. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:
2. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3. Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5. Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients where identified. Comment:

[Note: The actual dollar amount of the sub-agreement, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall contract. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.]

**Annex B**

**SAMPLE FORMAT FOR INITIAL SECURITY PLAN**

When submitting a Security Plan, at a minimum, the Applicant shall address the following points:

1) There shall be a Threat Analysis and a Risk Assessment conducted by a competent authority, preferably a professional Security Expert. This product should cover all facets of the Applicants operations (i.e. lodging, office, transportation, operational area, etc.

- Current and previous security situation in locations mentioned in item one above (to include crime, insurgent activity, kidnappings, police and military operations, etc.) in the area(s) of project activities, the company's offices, and employee living areas
- Previous security incidents that involved the company and/or its personnel or other organizations in the vicinity previous and current threats against the company and/or its personnel

2) Location(s) of project offices and activities.

3) Period of Performance of the Agreement

4) The company's current security plan (if applicable) including perimeter security (i .e. "11' high, 1' foot thick, concrete and brick wall, with razor wire on top totaling approx. 13' that surrounds the entire compound, CCTV system, 10' high metal entry/exit door manned by a 24/7 armed guard, with cabin, etc).

5) For requests of vehicles:

- Number of vehicles requested
- Vendor that will be utilized
- Frequency of travel utilizing vehicles
- Terrain
- Driver Training Plan
- Passenger orientation and driver training plan:

(Note: Armored vehicles have different handling characteristics and drivers and perspective passengers should be trained in evasive driving techniques as well as handling the particular type of vehicle in emergency situations.

6) A cost breakdown along with comprehensive budget narrative.

7) A point of contact in case for questions or clarifications.

8) Planned methods to mitigate the threats, including evidence of an assessment or evaluation of alternative security precautions. These may include but not be limited to: Issuance and use of two-way radios and/or other communication networks, upgrading buildings, deploying guards and/or guard force, CCTV system, or purchasing additional vehicles as recommended by security experts, assessing the manner in which the FAV is envisaged to be used in terms of safety etc.

The list above includes items to consider when preparing a comprehensive Security Plan.

Please note, however, this is not an all-inclusive list; there may be additional relevant information or items to be considered. Therefore, when submitting a Security Plan, please provide all relevant and necessary information.