



**Date Issued: July 13, 2012**  
**Request for Application Clarification Questions Due: July 23, 2012**  
**Closing Date: August 13, 2012**  
**Closing Time: 2:00 p.m. Manila, Philippines Time**

**Subject:** Request for Application (RFA) **RFA-492-12-000005**  
**RFA Title:** Education Governance Effectiveness (EdGE) Project

Dear Prospective Applicant:

The United States Government, represented by the United States Agency for International Development (USAID)/Philippines is seeking applications from Non-U.S. Non-Governmental organizations. USAID/Philippines proposes to enter into a Cooperative Agreement with one organization to support USAID/Philippines' Office of Education's program entitled "**Education Governance Effectiveness (EdGE) Project**" specifically, described in Section I of this RFA. The authorities for this RFA are found in the Foreign Assistance Act of 1961, as amended, and the Grants and Cooperative Agreement Act of 1977. This RFA is also being issued in accordance with the established format outlined in ADS 303.3.5.2 and the Office of Federal Financial Management Policy Directive on Financial Assistance Program Announcements.

USAID is seeking applications from eligible institutions as described in Section III of the RFA. This is a full and open competition, under which any type of "local" organization, large or small, commercial (for- and non-profit), faith-based, partnerships. In accordance with the Federal Grants and Cooperative Agreement Act USAID encourages competition in order to identify and fund the best possible responsible applicant to ensure achievement of the program objectives.

While for-profit organizations may participate in this action pursuant to 22 CFR 226.81 it is the policy of USAID not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities) may be paid under the agreement.

Subject to the availability of funds, and if the application is determined suitable for funding, USAID anticipates the award of a cooperative agreement with an estimated amount no more than \$7,800,000.00 over a five-year period. USAID reserves the right to fund any or none of the application submitted. Applicants under consideration for an award that have never received funding from USAID can be subject to a pre-award survey to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate. More specifically a pre-award survey team will examine the applicant's systems to determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills — or the ability to obtain them — in order to achieve the objectives of the program.

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This RFA is being issued and consists of this cover letter and the following:

Section I	Program Description
Section II	Award Information
Section III	Eligibility Information
Section IV	Application and Submission Information
Section V	Application Review Information
Section VI	Award and Administration Information
Section VII	Agency Contacts
Section VIII	Other Information

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

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Please select "Find Grant Opportunities", click "Browse by Agency", select "Agency for International Development", and then search for the Request For Application number. If there is difficulty accessing this RFA please telephone the Grants.gov Helpdesk for technical assistance at 1-800-518-4726 or send an email via [support@grants.gov](mailto:support@grants.gov). If after contacting the Grants.gov helpdesk an organization is still unable to retrieve this document please request an electronic copy of the by contacting USAID/Philippines/ROAA via email at [manilaedugov@usaid.gov](mailto:manilaedugov@usaid.gov).

Any questions concerning this RFA should be submitted in writing to Ms. Dion Glisan via email at [manilaedugov@usaid.gov](mailto:manilaedugov@usaid.gov). Questions sent to any other email address will not be answered. The email transmitting the questions must reference this RFA number and title "Education Governance Effectiveness (EdGE) Project". In the event of an inconsistency between the documents comprising this RFA it shall be resolved at the discretion of the Agreement Officer. The request for application clarification questions, as well, full applications must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. No late applications will be accepted. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or faxed applications (entire document) are not authorized for this RFA and will not be accepted.

The application shall be submitted in two separate parts and delivered within two separate envelopes (a) technical and (b) cost or business application. The technical application shall consist of one original, three copies and an electronic (email) copy. The cost or business application shall also consist of one original, three copies and an electronic (email) copy. Applications shall be submitted with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

**Mail/Courier**

U.S. Agency for International Development  
Attn: Ms. Dion Glisan  
Contracting Officer  
8/F, PNB Financial Center  
Pres. Diosdado Macapagal Boulevard  
1308 Pasay City, Philippines

**E-mail**

Ms. Dion Glisan at the following email addresses: [manilaedugov@usaid.gov](mailto:manilaedugov@usaid.gov) and [dglisan@usaid.gov](mailto:dglisan@usaid.gov)

Instructions for submitting applications can be found under Section IV, Application and Submission Instructions. Applications should be submitted in sealed envelopes with the name and address of the applicant and the number of the RFA on the envelope. Applicants should retain a copy of their application and accompanying enclosures for their records.

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

Any questions concerning this RFA should be submitted in writing to the abovementioned email addresses.

Answers to questions and any additional information regarding this RFA will be provided through an amendment to this RFA and posted on <http://www.grants.gov>.

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.

Thank you for your consideration of this USAID initiative. We look forward to your organization's participation.

Sincerely,

//sd//

Ms. Sallie McElrath  
Supervisory Agreement Officer  
USAID Philippines

## List of Acronyms

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ADS	Automated Directives System
AOR	Agreement Officer's Representative
ARMM	Autonomous Region in Muslim Mindanao
BESRA	Basic Education Sector Reform Agenda
CCR	Central Contractor Registration
CFR	Code of Federal Regulation
COP	Chief of Party
CV	Curriculum Vitae
DepED	Department of Education
DILG	Department of Interior and Local Government
DUNS	Data Universal Numbering System
EdGE	Education Governance Effectiveness
EGRA	Early Grade Reading Assessment
EQuALLS	Education Quality and Access for Learning and Livelihood Skills
GBV	Gender-Based Violence
GEM	Growth with Equity in Mindanao
GPH	Government of the Philippines
JBIC	Japan Bank of International Cooperation
KRA	Key Result Areas
KRT	Key Result Thrusts
LGU	Local Government Unit
LIPAD	Literacy for Peace and Development
LSB	Local School Board
LOC	Letter of Credit
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MOOE	Maintenance and Other Operating Expenses
NAT	National Achievement Test
NEDA	National Economic and Development Authority
NGO	Non-governmental Organization
NICRA	Negotiated Indirect Cost Agreement
OECD	Organisation for Economic Co-operation and Development
OFAC	Office of Foreign Assets Control
OMB	Office of Management and Budget
PDP	Philippine Development Plan
PIDS	Philippine Institute for Development Studies
PMP	Performance Monitoring Plan
PPP	Public/Private Partnerships
PTA	Parents-Teacher Association
PWDs	People With Disabilities
RFA	Request for Application
ROAA	Regional Office of Acquisition and Assistance
SBM	School-Based Management
SGC	School Governing Council
SEF	Special Education Fund
SIP	School Improvement Plan
TEEP	Third Elementary Education Program
TIMMS	Trends in International Mathematics and Science Study
TIN	Taxpayer Identification Number

## List of Acronyms

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UNESCO	United Nations Educational, Scientific and Cultural Organization
USAID	United States Agency for International Development
USG	United States Government
WB	World Bank

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**Education Governance Effectiveness (EdGE) Project**

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## **SECTION I – PROGRAM DESCRIPTION**

### **1. Introduction**

#### **A. Project Overview**

The United States Agency for International Development in the Philippines (USAID/Philippines) seeks applications from local organizations or institutions within the Philippines to implement the Education Governance Effectiveness (EdGE) Project.

This request for application (RFA) supports improving educational governance especially at the school and at the local government level in selected cities and municipalities nationwide, with the ultimate goal of improving learning outcomes, particularly reading in the early grades. This initiative will contribute to attaining the Mission's goal of improving reading skills of at least one million children in the early grades, and will be coordinated with the Mission's planned national reading project.

The EdGE Project will provide support to effectively implement Philippine governance reform efforts in education, specifically through decentralization. This will include support for School-Based Management program, a key ingredient of the Basic Education Sector Reform Agenda. It will also support capacity building of Local School Boards and parents-teacher associations. The project will work with the Department of Education (DepED) at both the national and local levels, the Department of Interior and Local Government (DILG), local government units, parents-teachers associations, non-governmental organizations such as community organizations, people's organizations and faith-based groups, the private sector, other USAID projects, donors, and stakeholders.

#### **B. Strategic Framework**

Philippine Government Priorities. The Philippine government is committed to improving the quality of education in the country, as evidenced by recent increases in funding allocations for basic education. At the core of the new Philippine Development Plan (PDP) -- the country's medium-term development plan which will run from 2010 to 2016 -- is fully implementing the government's "Social Contract" with the Filipino people through the pursuit of inclusive growth. Improving the quality of education as a key strategy for achieving inclusive and broad-based growth is a top priority. (See <http://www.neda.gov.ph/PDP/2011-2016/default.asp>)

The PDP emphasizes the transformative role of education. Priorities include not only increased access but also improving quality. For education, government has enumerated ten priority areas which include implementing compulsory kindergarten, expanding the education cycle from 10 to 12 years, rationalizing the medium of instruction through the use of mother-tongues, and ensuring that every child is a reader.

USAID Global Education Strategy. Launched in 2011, USAID's Global Education Strategy is grounded on the Presidential policy guidance on development: evidence-based, focused, and aimed at achieving sustainable results. The strategy focuses on three key pillars: early grade reading; tertiary and workforce skills supportive of a country's development goals; and equitable access to education in crisis and conflict environments. Its ultimate objective is to advance sustained and inclusive economic and social development through improved learning outcomes over the next five years. For the first goal, the target is 100 million children with improved learning outcomes by 2015, with "greater engagement, accountability and transparency by communities and the public" as an intermediate result. Refer to [http://www.usaid.gov/our\\_work/education\\_and\\_universities/documents/USAID\\_ED\\_Strategy\\_feb2011.pdf](http://www.usaid.gov/our_work/education_and_universities/documents/USAID_ED_Strategy_feb2011.pdf)

USAID/Philippines Country Development Cooperation Strategy. USAID/Philippines is finalizing its next-generation Country Development Cooperation Strategy (CDCS) that will guide its programming for the next five years (2011-2016). The emerging CDCS is focused on taking the Philippines to a higher growth

path and sustaining these gains. The ultimate goal of the CDCS is for a “more stable, prosperous and well-governed” nation to be achieved through the three Development Objectives of (1) accelerating and sustaining broad-based and inclusive growth, (2) improving peace and stability in Mindanao, and (3) reducing disaster risks.

As an Intermediate Result to the first Development Objective of “broad-based and inclusive growth accelerated and sustained”, USAID/Philippines will work on improving the quality of education through: (1) improving education governance, (2) improving reading skills at the primary grades, (3) and strengthening higher education institutions.

USAID/Philippines’ Education Programming and Inclusive Growth. In support of promoting broad-based and inclusive growth, this project will contribute to improving the quality of education through improving governance of the sector. This strategic convergence on inclusive growth has determined what approach USAID/Philippines’ education programming will take for the next five years: it has to be aligned with host government priorities, it has to focus on improved learning outcomes, it has to be anchored on the impetus for inclusive growth, it has to be infused with the principle of achieving measurable impacts, and it has to be sustainable.

The EdGE Project will be implemented to help achieve USAID’s global goal of improving reading outcomes for 100 million children by 2015 through greater community engagement, accountability and transparency. For the Philippines, USAID is targeting at least one million children with improved reading skills at the early grades.

Therefore, the EdGE Project will be fully aligned with USAID’s Global Education Strategy, the Mission’s emerging CDCS, and Philippine Government priorities. It will support the local government decentralization process through strengthening local government capacities and increased community engagement, build on host government’s thrust of education decentralization through School-Based Management, and directly contribute to furthering the gains of the Philippine Basic Education Sector Reform Agenda.

### **C. On-going USAID Assistance to the Philippine Education Sector**

Since 2006, USAID/Philippines assistance to education has been focused on the conflict-affected and poverty-stricken areas of the country, which also has some of the poorest education indicators. This meant that all of the work was focused on the southern island of Mindanao and the Sulu archipelago, with the overarching goal of supporting peace and stability efforts in that region.

With the Education Quality and Access for Learning and Livelihood Skills (phase 1 and 2) or EQuALLS project as its flagship program, USAID invested more than \$60 million into its focus areas the past 6 years (see <http://www.equalls2.org/>). EQuALLS2 tackled the education issues in three different dimensions: increased community support for education, including infrastructure development; improved instruction quality in English, math and science; and increased relevance of education for out-of-school children and youth, which included both alternative learning systems for accreditation and equivalency, as well as livelihood training. This project covered 41 municipalities and cities in three regions in Mindanao. These were Region IX or Western Mindanao, Region XII or Central Mindanao, and the Autonomous Region in Muslim Mindanao, or ARMM.

EQuALLS2 had a very strong focus on education decentralization, under its first component: Increased Learning Opportunities through Community Support for Education. It provided support to planning and project management, financial management, networking and advocacy, and tracking and communicating educational improvement.

Other current USAID/Philippines education projects include:

1. The Literacy for Peace and Development (LIPAD) project: an adult literacy program in the mother tongue with a peace building component. This project is managed by a local non-governmental organization that implements this project in the five provinces of the Autonomous Region in Muslim Mindanao.
2. Tudlo (Teach) Mindanao: a participating agency partnership agreement with U.S. Peace Corps that administers the English Language Camps for teachers and administrators at both elementary and secondary schools. Tudlo Mindanao is a venue for cultural exchange, and participants come from the same geographic coverage as the EQuALLS project.
3. The Strengthening Information for Education Policy, Planning and Management in the Philippines, or the PhilEd Data Project: a project that provides technical assistance to the Department of Education at the national and regional levels to improve and enhance its production and use of assessment data, implement a national baseline on reading utilizing the Early Grade Reading Assessment (EGRA), and develop new assessments in line with host government priority programs.
4. Growth with Equity in Mindanao (GEM). GEM has an Education Matching Grant component. The grants are resources provided to PTA's and other community organizations that match peso-for-peso the resources generated by the local stakeholders. The grants are for specific programs or facilities in schools, such as improving school libraries or establishing science laboratories.

The EdGE project will build on the existing progress USAID/Philippines has made, particularly on the EQuALLS Project's accomplishments in strengthening Local School Boards, increased parent-teachers association (PTA) capacities, and increased community involvement for improved education quality.

## **2. Purpose and Scope**

The objective of the EdGE Project is to improve education governance at the local level, with the end goal of improving learning outcomes, particularly early grade reading. This will be achieved through:

- Strengthening financial, planning and management capacities of the Department of Education, local government units, local school boards, and school governing councils;
- Improving transparency and accountability at the local level; and
- Increasing community engagement to support improved learning outcomes of students through parents-teachers associations, civil society, and private sector groups.

EdGE is a five-year project estimated to begin on or about October 1, 2012, and will be implemented in selected cities and municipalities nationwide as selected collaboratively with the awardee/recipient, USAID and the Department of Education (DepEd). The administration of the award will follow the Standard Provisions for Non-U.S., Non-Governmental Recipients (22 CFR 226). To optimize USAID resources, the project will be, to the greatest extent possible, coordinated and co-located with other Mission education projects especially the mission's planned nationwide reading project called Basa Pilipinas which supports the Philippine government's Every-Child-A-Reader Program.

The project is estimated to receive total funding support of no more than **US \$7.8 million**, subject to availability of funds.

## **3. Background and Problems to be Addressed**

### **A. Situation of Philippine Basic Education**

Despite recent progress, governance remains a binding constraint to Philippine growth. Recent analysis undertaken by USAID identified governance issues such as corruption and weak rule of law as persistent obstacles to development. The World Bank's Governance Indicators show that for the past decade, Philippine performance has stagnated, and remains below the 50<sup>th</sup> percentile rank worldwide. The lack of good governance has resulted in the economy's inability to attract foreign direct investments, weak fiscal

performance, and misuse of scarce public resources. This explains why economic growth is well below levels achieved by its neighbors, and why essential investments in basic social services have not been made.

Nowhere is this felt more strongly than in the education sector, particularly in basic education. The consistent underinvestment in education in the past decade has led to per pupil spending that is among the lowest in the region. In 2005, while the rest of East Asia spent 3.6% of their gross national product on education, the figure was just 2.3% for the Philippines (UNESCO, 2010). Shortages are acute: 2.5 million seats, 135,000 toilets, 100,000 teachers, and 66,000 classrooms. (Luistro, 2011)

Governing the sector itself is a challenge. The sheer size of Philippine basic education, managed centrally by the Department of Education or DepED, makes it a very unwieldy organization to steer towards reform. Total enrollment is around 22 million in more than 50,000 schools nationwide, with DepED's workforce of around 500,000 accounting for about a third of the total government civil service count.

DepED has long been plagued by issues of corruption, error-ridden textbooks, "ghost" teachers on the payroll, politicization in hiring, instability of leadership, and resistance to institutional change. (UNESCO, 2009; Luz, 2009; NEDA, 2010; PIDS, 2010) Coupled with inadequate resources, all these have led to serious problems in the state of basic education. In 2009, the Philippine Human Development Report presented DepED as a case study to demonstrate how institutions can facilitate, or in this case hinder, development. Governance problems, left unresolved in the institution charged with basic education, could have only one result – a decline in human development.

**Education Performance.** Across all measures of education quality, the Philippines has either stagnated or deteriorated. As a middle-income country, the country's high drop-out rates are comparable to low-income countries, at 6% annually. These drop-out rates have resulted in a large number of out-of-school children and youth, now estimated to be between five to six million. (USAID, 2011) The most significant statistic for drop-outs is that the largest number occurs in Grade 1, where almost 13% leave school. (UNESCO, 2010) Across all indicators, girls outperform boys in the sector.

In the latest Functional Literacy and Mass Media Survey in 2008, 6.9 percent of the population aged 10-64 could neither read nor write, with some regions registering as high as 22 percent illiteracy rate (in the Autonomous Region in Muslim Mindanao). This translates to 4.6 million illiterates out of a population of nearly 67 million in the cohort. The number of adult illiterates in the Philippines actually grew by 1.4 million from 2000-2007, even as the number in the East Asia region dropped in the same period (UNESCO, 2010). From 1994 to 2003, literacy rates in nine of 15 regions actually showed a slight decline. (Luz, 2009)

Philippine performance in the Trends in International Mathematics and Science Study (TIMSS) placed it 23 out of 25 participating countries in 2003. In the 2008 Advanced Math category for TIMSS, the Philippines ranked 41 out of 45. It did not participate in subsequent TIMSS testing. (USAID, 2011)

Another measure of quality is the National Achievement Test (NAT), an examination administered to grade 6 students and second year high school (grade 8) students. The 2009 Philippine Human Development Report, using 2006 results, called the NAT results "pathetically low" with only 15.3% of elementary schools actually passing the required minimum competency for the next level of schooling. In 2010, the mean percentage score of grade 6 elementary students was at 68%. While this has been an improvement compared to previous NAT scores, this is still below the threshold of the 75% mastery level. For high school, the mean percentage score was even lower at 46%.

This very poor performance in testing outcomes can be traced to many factors, the most important of which is the failure to acquire the basic reading and comprehension skills to actually understand the test. (Quijano, nd)

In 2007, out of more than 20,000 students tested in grade 1, 64% were at the “frustration level” of reading. For grade 2, 49% were at this level, and for Grade 3, 47%. (Luz, 2009) “Frustration level” refers to non-readers. USAID/Philippines’ EQuALLS project also conducted its own reading diagnostic in its project sites in Mindanao, and tested 9,000 children in 2010. 75% were found to be not reading with understanding, and over half were reading below their grade level.

Many studies point to both underinvestment in as well as poor governance of the sector as two primary reasons why learning outcomes in Philippine public schools are so poor. (USAID, 2011) Poor governance is manifested in the lack of capacity to implement reforms at the local level, the lack of transparency and accountability in the use of local resources for education, and the lack of participation in education policy formulation and implementation.

## **B. Reforming Education Governance through Decentralization**

The current administration recognizes the many issues plaguing basic education in the country and has initiated large reform efforts and mobilized resources to address these. The first education budget it enacted represented an 18% increase from the previous year, bringing the 2011 basic education budget to Php207 billion (US\$4.9 billion) and in its second year, the Philippine government allocated a budget that was a further 15% higher at Php238.8 billion (US\$5.6 billion).

All these resources are going towards DepED’s pursuit of a series of massive reform efforts. Foremost of these is the closing of the resource gaps, such as instituting public-private partnerships to build classrooms and address the current shortage of almost 70,000; implementation of mandatory kindergarten; the nationwide roll-out of mother-tongue based multi-lingual education; the institutionalization of a unified information management system; and the largest effort of all, adding an additional two years as senior high school to implement the K-12 program.

**Schools First Initiative.** At the same time, DepED leadership is continuing previous reform efforts mandated by the policy framework established to support improved education governance. The underlying law is Republic Act 9155, or the 2001 Governance of Basic Education Act.

This law streamlined DepED functions and decentralized some powers to lower levels of the department, as well as to other stakeholders to support decentralization of education: “(t)he State shall encourage local initiatives for improving the quality of basic education.... Schools and learning centers shall be empowered to make decisions on what is best for the learners they serve.” (RA 9155)

The Act gave the school responsibilities to set its own mission, vision, goals and objectives. It also stipulates that schools shall be held accountable for ensuring higher learning outcomes, introducing new and innovative modes of instruction, administering and managing personnel and other resources, and establishing school and community networks and encouraging the active participation of teachers’ organizations, non-academic personnel of schools, and parents-teachers associations. The Act also recognizes the need of the school head to work with local communities to implement appropriate strategies for improved quality of education. (RA9155)

Responding to the new mandate, DepED launched the Schools First Initiative, a program that sought to improve public school performance, especially as regards meeting the commitment of the Education for All Goals. In essence, it was “an effort to improve basic education outcomes through a broadly participated popular movement featuring a variety of initiatives undertaken by individual schools and communities”. (DepED, 2005)

The Schools First Initiative mandated the creation of a multi-sectoral School Governing Council, where the members were truly representative of the constituency of the school. The Council was empowered to approve the School Improvement Plan, oversee the use of school-based maintenance and other operating

expenses funds and the Special Education Fund allocations. The Council would also define school-level policies and resolve school-level issues.

The program was a package of reform efforts that had three components: (1) improvement of learning outcomes, (2) generation of more resources and improvement in resource management, and (3) improvement of the education bureaucracy at the local level. Under the first component, reading proficiency was a major activity. This included development of reading standards, improvement of teacher proficiency in teaching beginning reading, and the creation of library hubs.

**Basic Education Sector Reform Agenda and School-Based Management.** A year after the School First Initiative was put in place, the more comprehensive Basic Education Sector Reform Agenda (BESRA) was launched. BESRA was implemented to “systematically improve critical regulatory, institutional, structural, financial, cultural, physical and informational conditions affecting basic education provision, access and delivery on the ground. These policy reforms are expected to create critical changes necessary to further accelerate, broaden, deepen and sustain the improved education effort already started by the Schools First Initiative”. (DepED, nd)

BESRA has five key result thrusts, or KRT’s: Get all schools to continuously improve; enable teachers to further enhance their contribution to learning outcomes; increase social support to attainment of desired learning outcomes; improve impact on outcomes from complementary early childhood education, alternative learning systems, and private sector participation; and change the institutional culture of DepED to better support these key reform thrusts. (DepED, nd)

School-Based Management, or SBM, is the primary strategy for achieving the first key result thrust. SBM decentralizes decision-making authority to parents and communities. According to the World Bank (2008) SBM “fosters demand and ensures that schools provide the social and economic benefits that best reflect the priorities and values of those local communities. . . . Education reforms in OECD countries tend to share some common characteristics of this kind, including increased school autonomy, greater responsiveness to local needs, and the overall objective of improving students’ academic performance. Most countries whose students perform well in international student achievement tests give local authorities and schools substantial autonomy to decide the content of their curriculum and the allocation and management of their resources.”

Under SBM, “school heads are at liberty to explore ways by which they can run the school most beneficial to the school community. It gives schools heads and their teachers a wide berth to create linkages with the local government and the private sector and be able to tap them for the improvement of the local school”. (DepED, 2010)

DepED has embraced SBM and has created policies and processes to put its principles in place. BESRA enumerates how KRT1 will be realized:

- 1) *Institutionalize an efficient, participatory, and continuous school improvement process in every school.*
- 2) *Enable every school to routinely prepare a school improvement plan (SIP), implement it, monitor and report its implementation, and evaluate its results in terms of school-wide attainment of desired learning outcomes.*
- 3) *Enable every school and its community to establish and maintain functional and empowered School Governing Councils supporting the operational leadership of the school head in the school improvement process.*
- 4) *Provide schools with means to adopt mechanisms and practices for school-level accountability to parents, community, LGU’s, and the DepED hierarchy, including use of School Profiles, School Report Cards and similar modes of reporting measurements of school-wide educational outcomes (participation, completion, and achievement).*
- 5) *Expand schools’ use of student tracking systems to, among others, follow-up students who are frequently absent, encountering difficulties, and/or who are lagging behind.*

- 6) *Establish and sustain school/community level measures for enhancing basic health and nutrition conditions of students and school staff, which should be included as an important part of the SIP and a key responsibility of the SGC.*

SBM also became an important approach to improve education outcomes under the Third Elementary Education Program, or TEEP, of the Philippine government. This was a nine year program that started in 1997, co-financed by a World Bank and a Japan Bank of International Cooperation loan. It was implemented in 26 of the poorest provinces of the Philippines, in more than 8,600 schools. The program was modified to take into account the introduction of the 2001 Governance in Basic Education Act. The SBM component, which was not in the original program design, was eventually introduced to 85% of the participating schools and was implemented for seven of the nine years of the program.

To further the attainment of SBM objectives, DepED issued Department Order 55 in 2011 that set the implementing guidelines for the SBM Grants – a funding facility given to public elementary and secondary schools to help accelerate improvements in learning outcomes. The Grants are used for the creation of three-year School Improvement Plans, or to implement activities of the plan as encapsulated in annual improvement plans. (DepED, 2011)

In August 2011, DepED issued Department Order 60 which provided guidelines on the direct release of maintenance and other operating expenses (MOOE) allocations of schools to the respective implementing unit. DepED states that to date, more than 70% of schools have received their MOOE's directly, which is another clear indicator that the department is clearly serious in its pursuit of education decentralization.

**The Role of Local Governments in Education.** Local government units have also been empowered to support education by the Local Government Code of 1991. Specifically, the Code mandates the establishment of the Local School Board (LSB) headed by the local chief executive (mayor or governor) and co-chaired by the highest ranking DepED official. It also requires the presence of civil society among its membership.

The specific functions of the Local School Board, as mandated by the Local Government Code, are to determine the supplemental budget needs and the manner of use of the Special Education Fund; advise the local council on education matters; and recommend changes in the names of public schools.

The Special Education Fund (SEF) is an education earmark that is sourced from 1% assessed value of real property collected by the LGUs. DepED reckons that today, the SEF has surpassed the department's own budget allotment of maintenance and other operating expenses which is devolved to schools to defray operating costs.

A study of the Philippine Institute for Development Studies estimates that the SEF is now equal to or exceeds DepED's operating expenses budget, which was estimated to be around Php15 billion (or around US\$375 million) in 2008. Aside from the SEF, local governments also utilize their general fund to provide education resources. Therefore, LGUs have billions of pesos at their disposal to augment the resources of the Department of Education and address education problems in their localities.

### **C. Constraints to Effective Education Decentralization**

The policy framework has been set. However, for education decentralization to work effectively, the people who actually run the schools, those in oversight and monitoring functions, and other key stakeholders would need to possess the necessary capabilities to implement SBM and all its requirements. It also means that other stakeholders outside DepED, particularly the local government units and parents-teachers associations, have to be knowledgeable about the roles and responsibilities they play and are capable of performing these.

Research points to persistent weaknesses of individuals, organizations and governance systems that prevent education decentralization from reaching its full potential. Common findings include:

- 1) Weak capacity of local officials (both DepED and local government unit) in planning, finance and management
- 2) Lack of transparency and accountability in the use of local education funds
- 3) Weak participation of parents and other stakeholders in the education of their children.

**Weak Capacity.** The management capacity of DepED at the local level seems to be wanting. In 2004, DepED superintendents and assistant superintendents were given a management aptitude test as part of a career service requirement for managerial or supervisory positions. Of the 1,600 examinees who took the test, 21 people or less than 2% passed the exam. This indicates poor quality of management talent available for officials already in the system. (Luz, 2009)

The same study states that of the more than 37,000 elementary schools, more than half were not qualified to be managed by a principal or head teacher due to their small complement of teachers. However, many schools that could have been managed by a principal or head teacher actually did not have any school head and relied only on teachers-in-charge. This indicates a deployment problem, where needs for school leadership are not matched to resources. This finding is very significant particularly for SBM which envisions the school head as a galvanizing force for community action to improve learning outcomes.

Baseline analysis conducted by USAID's EQuALLS2 Project, which had a community engagement component, revealed that of the 41 Local School Boards in the cities and municipalities the project operated in, only 10% of the total was deemed to be functioning effectively. Many of the LSB's were not meeting regularly, and had weak planning, budgeting, and reporting systems. It was also found that the use of the SEF was usually decided by only a few members, and this use was mainly for infrastructure, sports, and other non-academic activities.

In certain cases, the local school board has been reduced to a mere budgeting entity for local education funds, and that there are weak planning and budgeting practices and processes that contribute to inefficient and ineffective use of local education funds. (Robredo, nd)

**Lack of Transparency and Accountability in the Use of Local Education Funds.** A recent study conducted by the Philippine Institute of Development Studies (Manasan et. al, 2011) validated many of the above findings. However, the issue of lack of transparency in the use of local funds – both SEF and the school operating funds -- was a recurring theme.

Local school boards are paradoxically under-spending the SEF, with many recording surpluses of as much as 17 percent despite the acute shortages in education inputs. According to the study, this may be an indicator of fiscal conservatism. However, it may also indicate lack of information on needs, or the poor planning accompanying SEF use.

The study also states that while there are guidelines on the budget preparation for the SEF, there seems to be no standard procedure observed by the local governments they studied, and that lack of transparency in the budgeting process of the SEF is also prevalent. This lack of transparency is present in budget execution and has strained relationships between DepED and the local government. The SEF can also be politicized, when the local chief executive plays a dominant role in the LSB.

In terms of accountability in the use of local education resources, the study found that only very few local school boards regularly report SEF collection, expenditures and balances. There is also no conscious effort on the part of DepEd to relate or link SEF budgets to performance or outcomes of their projects. It was not also clear if the programming of local funds was based on the School Improvement Plans. Even within the local DepED, lower level officials such as principals (who do not sit in the local school board) do not know what happens to the SEF.

It is not just the LSBs that have opaque processes. Some local governments complain that DepED does not share how much each school receives in terms of maintenance and other operating expenses. Information on new teacher deployment as well as new classroom allocations funded by national government are also not shared.

**Lack of Participation.** The same baseline analysis conducted by USAID's EQuALLS2 Project on the local school boards was also done on the parents-teachers associations in their project sites. Of the 742 PTAs with which the project worked, only 7 percent or 53 PTAs were deemed to be functioning effectively, while most of the PTAs surveyed were seen to have weak organizational capacity.

PTAs had weak planning capacities ("planning" was usually limited to verbal agreement among a few members); they did not have proper financial records; and instead of the whole community, only PTA members were contributing to school activities.

The findings of the EquALLS2 assessments are not limited to its areas of implementation. According to Robredo (nd) there is a general lack of awareness about the current state of public education among stakeholders and there is weak involvement and participation of other community-based stakeholders in the delivery of public education services. Mechanisms for meaningful parent participation in the education of their children were also weak.

Although the policy framework was set in place more than a decade ago, it seems that the implementation of education decentralization faces many constraints to fully achieve its objectives. The Philippine government continues to work on improving the mechanisms in place. The Department of Interior and Local Government, the Department of Budget and Management, and DepED are working together to create guidelines to rationalize SEF spending, for example.

Experience shows that when implemented correctly, improving education governance through decentralization can contribute significantly to improving outcomes. An assessment of the schools that were part of the above-mentioned Third Elementary Education Project (TEEP) provided empirical proof of this.

**Positive Outcomes of Improved Governance and Education Decentralization.** The case studies of the TEEP schools showed how effective school leadership and management could result in improved education outcomes. High-performing principals were those who were able to leverage resources from the community, create high time-on-task situations in their schools, and were visible in the community as a leader. (Luz, 2009)

In TEEP, the most successful divisions in terms of education outcomes were the ones where successful school-based management was realized. SBM, more than any other factor, was the single most important input; more so than the provision of any material resource. (PIDS, 2009) According to a National Economic and Development Authority policy paper, participating schools in the SBM component of TEEP showed improvements such as higher participation rates, lower drop-out rates, and enhanced performance in NAT scores. (NEDA, 2010)

USAID's EQuALLS2 project also showed concrete achievements in its efforts to increase community engagement for improved quality of education. Of the 41 LSBs assessed, the total number of those functioning effectively became 60% at the end of the project. Planning became more open and participatory, education report cards were created and used for budgeting, municipal and city ordinances supportive of education were passed, and PTAs were able to leverage resources that created almost a 1:1 match for project funding through community incentive grants.

In one of the most successful cases of the transformative impact of education decentralization, Naga City showed a massive increase in the performance of its students in the National Achievement Test. From 38.1

mean percentage score in 2000 (a year before governance reforms were introduced by its mayor), the scores jumped by more than 12 points to 50.58 in 2004, and a further ten points to 60.10 in 2005. (Barcillano, nd)

These gains were made possible by the major governance reform efforts introduced by Naga's local chief executive, going beyond the SBM framework. Among the steps taken to reform were: conducting regular consultations with parents, teachers, and school officials; more transparent and efficient system of procurement; utilizing technology to improve communication flow and foster more transparency and accountability; and the conduct of education summits on planning and budgeting.

The EdGE Project will be cognizant of these issues, challenges and models of effective implementation of good education governance at the local level.

#### **4. Program of Work**

To improve the governance of the education sector and address the issues that constrain the full implementation of education decentralization, the applicant should propose the most appropriate, innovative, relevant, and cost-effective method that would result in contributing to achieving the overall goal, the project objective, and the intermediate results of the project as laid out in the attached results framework.

##### **A. Anticipated Results and Indicators for the EdGE Project**

The main purpose of the EdGE Project is to improve education governance, in support of the overall goal of improving learning outcomes, particularly early grade reading, for at least one million children.

This will be achieved through three components:

1. Strengthened Government Effectiveness for Education at the Local Level
2. Increased Transparency and Accountability at the Local Level
3. Increased Participation of Stakeholders in Education Policy Formulation and Implementation

##### **B. Recommended Indicators**

While there are standard indicators identified in the section below on "outputs", the other indicators, outputs and deliverables suggested in this RFA should be seen as illustrative. Building on these illustrative targets and indicators, the Applicant will provide its own set of indicators, proposing alternative measures to gather key information that may be more feasible or cost-effective if necessary, including baseline data whenever possible. A final list of indicators will be confirmed in collaboration with USAID after award.

Indicators and targets for each activity should illustrate how the project will contribute to improved performance for each intermediate result. Measurement of achievements under this agreement should directly relate to the technical assistance and other support provided under this project, including the identification of best practices. Indicators will include a combination of standard indicators, as defined by USAID, and custom indicators which should have widely-shared definitions and allow aggregation of results.

##### **1) Outcome Indicators**

**Overall USAID Education goal:** *Improved learning outcomes in the early grades for at least one million children*

1. Proportion of students, who, by the end of two grades of primary schooling, demonstrate that they can read and understand the meaning of grade level text.

2. Proportion of students, who, by the end of the primary cycle, are able to read and demonstrate understanding as defined by a country curriculum, standards, or national experts

**Project Objective:** *Improved Education Governance for at least 50 cities and municipalities nationwide*

1. Percent increase in the number of effective Local School Boards
2. Percent increase number of functional and effective School Governing Councils

**Intermediate Result 1 for Component 1:** *Strengthened Government Effectiveness for Education at the Local Level*

1. Improved capacity of education officials in education planning, financial management, project management, and monitoring and evaluation
2. Percent increase in number of School Improvement Plans created and implemented
3. Increased local government prioritization for education
4. Percent increase in target schools accessing SBM grants

**Intermediate Result 2 for Component 2:** *Increased Transparency and Accountability at the Local Level*

1. Increased transparency in programming and utilization of the Special Education Fund (SEF)
2. Increased transparency in programming and utilization of the school maintenance and other operating expenses (MOOE)
3. Increased relevance of SEF spending to improving learning outcomes
4. Percent increase in local funds allotted for improved learning outcomes
5. Increased availability of information on student learning outcomes

**Intermediate Result 3 for Component 3:** *Increased Participation of Stakeholders in Education Policy Formulation and Implementation*

1. Improved capacity of parent-teacher associations in planning, financial management, project management and monitoring and evaluation
2. Increased participation of PTAs in School Governing Councils and Local School Boards
3. Percent increase in community members expressing satisfaction with participation in school management decision-making
4. Increased participation of civil society in Local School Boards
5. Increased private sector contribution of resources to address reading issues
6. Strengthened policy advocacy for improved education governance

## 2) Output Indicators

Below are output indicators, the first ten of which are standard indicators of the Foreign Assistance and Coordination Tracking System (FACTS), and therefore must be reported to the extent that this project produces these outputs. The implementing partner will propose other appropriate and relevant indicators that will best capture the outputs of the project.

### FACTS indicators – Required:

- a. Number of learners enrolled in USG-supported primary schools or equivalent non-school-based settings
- b. Number of learners receiving reading interventions at the early grades
- c. Number of teachers/educators/teaching assistants who successfully completed in-service training or received intensive coaching or mentoring with USG support

- d. Number of administrators and officials successfully trained with USG support
- e. Number of PTAs or similar “school” governance structures supported
- f. Number of textbooks and other teaching and learning materials provided with USG assistance
- g. Number of laws, policies, regulations, or guidelines developed or modified to improve
- h. primary grade reading programs or increase equitable access
- i. Total number of person hours of teachers/educators/teaching assistants who successfully
- j. completed in-service training or received intensive coaching or mentoring with USG support
- k. Total number of person hours of teachers/educators/teaching assistants who successfully
- l. completed pre-service training with USG support
- m. Total number of person hours of administrators and officials successfully trained

#### Illustrative

- a. Number of Local School Boards supported
- b. Number of schools with School Improvement Plans and Annual Improvement Plans
- c. Number of schools with School Report Cards displayed and/or disseminated
- d. Number of Public Private Partnerships advocating improved learning outcomes
- e. Amount of funding leveraged from community resources for improving learning outcomes
- f. Amount of funding leveraged from public-private partnerships
- g. Number of media campaigns to increase awareness of the importance of reading

### **C. Project Sites**

As mentioned above, project sites will be determined in consultation with the Department of Education as well as USAID/Philippines. Of primary consideration is the co-location and coordination of the project with the upcoming Basa Pilipinas project to achieve the overall goal of at least one million children with improved reading skills.

### **D. Other Considerations**

The Applicant is advised to take the following considerations in the design and implementation of the EdGE Project:

#### **1) Gender**

Gender equality is essential for achieving USAID’s development goals. The new USAID Gender Policy advances equality between females and males, and empowers women and girls to participate fully in and benefit from the development, through the integration of gender in the entire project cycle - - from project design and implementation to monitoring and evaluation. This integrated approach focuses on achieving three overarching outcomes: 1) Reducing gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services – economic, social, political, and cultural; 2) Reducing gender-based violence and mitigate its harmful effects on individuals and communities, so that all people can live healthy and productive lives; and 3) Increasing the capability of women and girls to realize their rights, determine their life outcomes, and influence decision making in households, communities, and societies.

To operationalize these overarching outcomes, the Project is expected to adopt any one of the seven output and outcome indicators, as appropriate, on gender equality, female empowerment, and gender-based violence in the USAID’s Gender Policy. The Project shall also develop a strategy for ensuring the integration of gender considerations into the work plan and the M&E Plan, and for reporting on how the project benefited men and women. Progress of all related activities will be measured and verified using gender-sensitive performance indicators that will be part of the PMP. All people-level indicators must be disaggregated by sex, and included in project reports.

It is important to note that in the Philippines, girls are outperforming boys in the education system. Boys in general have lower survival rates, higher drop-out rates, and lower participation rates. Project activities will be implemented in a manner that promotes fair, equitable, and meaningful inclusion of both sexes in all project activities.

To provide greater focus on gender equality in this project, the Project will prepare a Gender Action Plan that will include the following considerations:

- i. Conduct of training for the project staff, partners and cooperators on gender awareness, gender analysis and gender-responsive planning.
- ii. Collection of sex-disaggregated data for baselines and monitoring of all people-level indicators and use of gender analysis tools to identify potential gender gaps and constraints,
- iii. Conduct gender-responsive consultations to encourage the active participation of all to ensure that the voices of both men and women are heard and reflected in project plans and activities.

The preparation of the Gender Plan of Action should be guided by the USAID Gender Policy (in [http://www.usaid.gov/our\\_work/policy\\_planning\\_and\\_learning/documents/GenderEqualityPolicy.pdf](http://www.usaid.gov/our_work/policy_planning_and_learning/documents/GenderEqualityPolicy.pdf)) and be compliant with GPH's Harmonized Gender and Development Guidelines in <http://neda.gov.ph/hgdg/homepage.html>

## **2) Partnership in Delivering Disaster Response**

The Philippines is vulnerable to natural hazards. Due to its geographic location, the country is one of the world's most disaster prone countries, particularly vulnerable to tropical cyclones and floods, earthquakes, landslides and volcanic eruptions. These disasters can easily wipe-out development gains in the country.

On a case-to-case basis, USAID/Philippines mobilizes its various implementing partners to assist in delivering humanitarian assistance. Hence, project implementation frameworks of partners are encouraged to have the agility to dispatch resources, re-align budgets and support the rapid delivery of humanitarian assistance. USAID/Philippines in responding to large-scale disasters may request implementing partners to re-align the distribution of project resources to disaster-affected areas and vulnerable populations, and contribute in alleviating human suffering and expedite social and economic recovery. The scope and deliverables expected from the re-alignment of project resources will be mutually agreed by USAID/Philippines and the implementing partner.

## **3) Geographic Information System**

The implementing partner should map and track interventions and fund use using a geographic information system tool. As possible and appropriate, this could be done by barangay, municipality, province, region, and island grouping (Luzon, Visayas and Mindanao).

## **4) Environmental Compliance**

While this project has been granted a Categorical Exclusion, the implementing partner should inform USAID pursuant to 22 CFR 216.3(a)(9) if new activities are added and/or information becomes available which indicates that activities to be funded by the Program might be "major" and the Program's effect "significant" on the environment. After which the Categorical Exclusion will be reviewed and revised and submitted for approval and, if appropriate, an environmental assessment will be prepared.

## **5) Sustainability**

USAID/Philippines is committed to ensuring that the activities under this project are sustainable. Sustainability has been important for USAID's work over the 50 years of its existence and it is now a core part of U.S. global development policy and USAID's reform agenda. The Presidential Policy Directive on Global Development, the Quadrennial Diplomacy and Development Review, and the USAID Policy Framework FY 2011-2015 all recognize the critical importance of emphasizing sustainability in development cooperation.

For the purposes of integrating sustainability into USAID's project design process, sustainability is achieved when host country partners and beneficiaries are empowered to take ownership of development processes, including financing, and maintain project results and impacts beyond the life of the USAID project. Sustainability is fundamental across USAID's Program Cycle and involves a multi-faceted set of issues including economic, financial, social soundness, cultural, institutional capacity, political economy, technical/sectoral, and environmental.

Sustainability is fundamental to the USAID Forward Implementation and Procurement Reform (IPR) objectives. For the IPR objective of enhancing local capacity through implementation arrangements that strengthen local organizations' skills, incentives, motivations and opportunities, sustainability can be achieved because those organizations will have the ability to maintain project results and processes after USAID's support is ended. Moreover, the conjunction of government and local organization capacity, supported jointly by the IPR objectives, promotes checks and balances inherent both to project sustainability, and more broadly, to healthy and sustainable societies.

The recipient shall ensure that all institutional strengthening activities address both short- (during the activity) and long-term (post-activity) perspectives; opportunities for sustainability are carefully and regularly assessed; problem areas are dutifully highlighted and addressed; substantive issues beyond the management influence of the recipient and its proposed solutions are flagged for timely intervention by relevant parties; and the recurrent cost implications (i.e. likely costs, sources and commitment of funds and other resources) of achieving targeted sustainability, as defined above, are periodically assessed and the results of such assessments are documented and shared with all relevant decision-makers. considerable degree of flexibility, while demonstrating a definite ability to achieve targeted results, as approved. The recipient must show:

- A recognition of and ability to operate within and respond to the pressures identified above;
- A program structure and approach that has the ability to respond quickly and adapt rapidly to any changes in the environment; and
  - An ability to assess, identify, propose and justify cutting relatively non-performing aspects of the project in favor of well-performing aspects in order to maximize use of available resources and potential impact.

## **6) Partnering, Linkages and Coordination**

Ensuring collaborative linkages and partnerships among USAID-funded implementing partners, other donors, and within the wider education sector community, especially with the Department of Education of the Government of the Philippines will be an important principle throughout the award period. Support and commitment from the host government is essential to the success of this program and the recipient shall develop and maintain collaborative relationships to ensure ownership and support throughout all phases of program planning, implementation and monitoring and evaluation.

USAID programming in the education sector shall be a holistic approach, with the different projects simply different facets of one overarching goal: improving learning outcomes for Filipino children. All implementing partners will coordinate efforts to maximize efficiencies by avoiding duplication of efforts, reducing the burden on host country counterparts, streamlining and harmonizing reporting

requirements and leveraging limited resources. USAID/Philippines will be implementing several new activities that collectively aim to support the improvement of quality education. In addition to USAID, other donors are also actively involved in the sector. In order to ensure maximum impact from this collaborative effort, it is imperative that the recipient establish collaborative relationships among various project activities. Most critical will be the relationship with the “Basa Pilipinas” Project in that both of these activities aim to ultimately improve early grade reading in the primary grades. USAID will convene regular coordination meetings to achieve this aim.

Additionally, the Project has to be cognizant of other donor or civil society efforts in the same geographic or substantive areas in which it operates, and exert as much effort as possible to coordinate with these other projects.

## **7) Inclusive Development**

USAID is committed to the inclusion of people who have physical and cognitive disabilities and to provide support to organizations that advocate and offer services for people with disabilities (PWDs). USAID focuses on improving access of PWDs to development programs and on removing barriers that cause exclusion. All its grants, cooperative agreements and contracts, have provisions on the inclusion of people with disabilities. In line with the USAID Disability Policy, the Project will promote the participation and equalization of opportunities of individuals with disabilities, increase awareness of issues of people with disabilities both within USAID programs and in host countries; foster a climate of nondiscrimination against people with disabilities; and support international advocacy for people with disabilities.

## **8) Outreach**

As part of the response to this solicitation, a Branding Strategy and Marking plan should articulate outreach, dissemination and collaborative learning about the results (outputs and outcomes) of the Project, performance improvements, and lessons learned. However, the formal Branding Strategy and Marking Plan shall be required only to the selected recipient, for submission within 45 days after award.

## **9) Standard Property Rights Clauses**

It is necessary that USAID archive project-related data to ensure that at the conclusion of the award, the Agency will have access to the data. Data that is collected and produced under the project must be stored in a database management system or other structured data file format. This data will be provided in whole to USAID for further analysis and dissemination, as relevant.

## **5. Performance Monitoring**

Under USAID’s new Evaluation Policy, the primary responsibility for evaluations that assess the overall performance and results from a project or activity rests with USAID. While the implementing partner often provides supporting data and analysis, such evaluations will be designed, implemented and independently contracted by the Mission to assure objectivity and rigor. If appropriate, this project/activity will be evaluated externally by a third-party evaluation contractor to be commissioned by USAID towards the end of the period of performance.

Implementing partners remain responsible for ongoing monitoring and evaluation (typically formative and mid-term evaluations) that inform management decisions by assessing whether projects are being implemented as planned, reaching targeted groups, and achieving expected outputs and outcomes. The implementing partner will develop a Performance Monitoring Plan (PMP) within the first ninety (90) days following award and before major implementation actions are underway. The PMP will describe the agreed upon framework of goals, outcomes, and outputs for the project/activity, along with indicators, baselines and targets defined for

each, gender disaggregated where appropriate. The PMP will also include a monitoring and evaluation plan that describes the evaluative work that the awardee/recipient will conduct for its own management decision-making, institutional learning, and accountability purposes. (See [USAID Evaluation Policy](#) and ADS 203, as revised, for more detailed guidance).

## **6. Authorizing Legislation**

The authority for this Request for Application is found in the Foreign Assistance Act of 1961, as amended and the Federal Grant and Cooperative Agreement Act.

## **7. Program Eligibility Requirements**

Any locally registered Philippine organization meeting the criteria in Section III.1 of this RFA is eligible to apply.

## **8. Award Administration**

The resultant award and sub-awards will be administered in accordance with the U.S. Federal regulations and USAID policy. For non-U.S. organizations, the USAID Standard Provisions for Non-U.S. Non-governmental Recipients will apply. For any sub-award(s) to U.S. organizations, the 22 CFR 226, Office of Management and Budget (OMB) circulars, and USAID Standard Provisions for U.S. Non-governmental Recipients will apply.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID's policy not to award profit under assistance instruments, such as cooperative agreement instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations) may be paid under assistance agreements.

- Standard Provisions for Non-U.S. Non-governmental Recipient (<http://www.usaid.gov/policy/ads/300/303mab.pdf>)
- 22 CFR 226 – Administration of Assistance Awards to U.S. Non-governmental organizations (<http://www.gpo.gov/fdsys/pkg/CSR-2011-title22-vol1/xml/CFR-2011-title22-vol1-part226.xml>)
- OMB Circulars (<http://www.whitehouse.gov/omb/circulars/>)
- Standard Provisions for U.S. Non-governmental Recipients (<http://www.usaid.gov/policy/ads/300/303maa.pdf>)
- Federal Acquisition Regulation (FAR) Part 31 (<https://www.acquisition.gov/far/html/FARTOCP31.html>)

**[END SECTION I]**

## **SECTION II - AWARD INFORMATION**

### **1. Anticipated Award Schedule**

USAID expects to award one (1) cooperative agreement to a responsible applicant that is responsive to the objectives under this RFA. The anticipated total federal funding amount is \$7,800,000.00 with a period of performance of five (5) years, and an anticipated start date of October 1, 2012.

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, the initial application should contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right to enter into discussions in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

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 award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer. The Agreement Officer's Representative (AOR) will serve as the primary contact between USAID and the recipient; the Agreement Officer's Representative (AOR) will also serve as the alternate contact between USAID and the Recipient. The AOR will be based in USAID/Philippines and will assist the project in linking with other projects, Mission bilaterals, and other donors/foundations.

### **2. Authorized Geographic Code**

The authorized geographic code for procurement of goods and services under this Cooperative Agreement is 937.

### **3. Type of Award**

The award will be a Cooperative Agreement as USAID's will be substantially involved in the implementation of the selected program as consistent with USAID policy contained in ADS Chapter 303 concerning non-governmental assistance activities: <http://www.usaid.gov/policy/ads/300/303.pdf>

### **4. Substantial Involvement**

USAID/Philippines anticipates a close working partnership with the recipient's programs and as such, in accordance with the ADS Chapter 303.3.11 USAID/Philippines shall be substantially involved during the implementation of this Cooperative Agreement in the following ways:

- A. Approval of the recipient's annual work/implementation plans, including: planned activities for the following year, travel plans, planned expenditures, knowledge management plans, event planning/management, research studies/protocols; reports; monitoring and evaluation plans; and all modifications that describe the specific activities to be to be carried out under the Cooperative Agreement;
- B. Approval of and any changes to specified key personnel as designated below:
  - 1) Chief of Party
  - 2) Deputy Chief of Party

3) Director of Administration and Financial Management

- C. Agency and recipient joint participation including selection of advisory committee members, sub-award recipients and concurrence on the substantive provisions of the sub-awards;
- D. Approval of joint and co-funded activities with other Cooperating Agencies and other development partners;
- E. Approval of a Monitoring and Evaluation Plan; and
- F. Approval of sub-award recipients, and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies.

In accordance with ADS 303.3.11 the Agreement Officer has delegated the Agreement Officer's Representative (AOR) to approve the implementation/work plans and monitoring and evaluation plans. The AOR will also give concurrence with the remaining elements within the underlying elements within the substantial involvement section.

**[END SECTION II]**

## **SECTION III – ELIGIBILITY INFORMATION**

### **1. Eligibility Criteria**

Only local (Philippines) non-governmental organizations/private voluntary organizations are eligible to submit applications. USAID welcomes applications from organizations new to USAID.

A local organization is defined as follows:

- A. be organized under the laws of the recipient country (if already registered);
- B. have its principal place of business in the recipient country;
- C. be majority owned by individuals who are citizens or lawful permanent residents of the recipient country; and,
- D. not be controlled by a foreign entity nor by any individual or individuals who are not citizens or permanent residents of the recipient country.

Controlled by, (D) above, means a majority ownership or beneficiary interest as defined at (3), above, or the power, either directly or indirectly, whether exercised or exercisable, to control election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means, e.g., ownership, contract, or operation law.

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

Any recipient must be a responsible entity. Details on USAID's pre-award responsibility determination policy and procedure can be found on our agency website, in its automated directive system (ADS) chapter 303, section 303.3.9: <http://www.usaid.gov/policy/ads/300/303.pdf>

### **2. Cost-Sharing and Leveraging Resources**

In addition to the conditions above, a cost share of at least 5% of total USAID funding is required under this RFA. Cost share is defined by USAID as contributions, both cash or in-kind and can include contributions from the applicant, local counterpart organizations, and other donors (but not other U.S. government funding sources). The Philippine Government thru the Department of Education have established a leveraging arrangements during the implementation of collaborative program implementation across all USAID funded projects with the client (to include EdGE). Although such leverage provided is very useful in providing for flexibility to enable the recipient to meet needs that might not be covered by USAID project funds, the recipient cannot claim as Cost Share the leveraged amounts acquired during project implementation. Cost share must be used for the accomplishment of program objectives and must consist of allowable costs under the applicable US Government cost principles. Cost sharing will be subject to USAID Standard Provision entitled "Cost-Sharing (Matching)" for non-U.S. non-governmental recipients and applicable OMB cost principles.

**An application that does not meet the minimum cost sharing requirement is not eligible for award consideration.**

### **3. New Partners**

In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new local partners.

When considering making an award to a potential local partner with limited or no previous USAID experience, USAID will undertake necessary pre-award reviews to determine the organization's "responsibility" as discussed below. The resultant award to this organization may take some time. The applicant should take into account and plan their implementation dates and activities accordingly.

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is "responsible". A positive responsibility determination means that the applicant possesses or has the ability to obtain the necessary management and technical competence to plan and carry out the program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

#### 4. Electronic Payment

Across the world today, USAID implementing partners spend millions of dollars of payments in cash every year. These payments may include disbursements of salaries, payments to vendors, payments to participants of programs, such as cash-for-work programs, emergency relief payments, and others. Implementing partners also often support businesses in a specific sector or along a value chain. They advise on how to build sound financial management systems, and marketing techniques, among other technical assistance. Often these businesses rely on cash in their financial management systems.

Advances in communication technology and network capacities have enabled innovative new ways to make payments through mobile devices, smart cards and other electronic methods. The transition from cash to electronic payments has potentially significant benefits for all groups involved:

- **Cost Savings.** Decreasing the costs associated with physical cash operations
- **Transparency.** Increased accountability and tracking of financial flows
- **Security.** Safer delivery of payments, especially for women
- **Financial Inclusion.** Reaching those not yet in the financial services sector
- **New Market Access.** Opening doors for fee-for-service business models to previously unserved areas due to high transaction costs.

Electronic payment systems include, but are not limited to, electronic funds transfers using bank accounts, pre-paid cards (bank issued magnetic or smart cards) using Point of Sale devices, mobile banking, and money transfer and payment systems available through mobile network operators and/or banks.

Of all the electronic payment systems, mobile money appears to be the least understood, yet the technology and infrastructure behind it might have the longest reach and greatest potential audience. Mobile money enables individuals to store money, seamlessly transfer it to friends and family in need, and withdraw it without ever travelling to a bank. Depending on the country, users may also be able to pay for goods and services and access a whole range of financial services through their mobile phone. This can be life-changing for the 2.5 billion people without access to basic financial services. Mobile money can also directly support USAID's broader goals because it increases financial inclusion, improves transparency, and roots out corruption by preventing leakages and also increases broad based economic growth.

Though the potential benefits are clear, there is still more work to be done and USAID has a unique opportunity to leverage financial and political influence to drive greater usage of electronic payment systems. To that end, prospective partners should note the following:

USAID encourages host country governments, bilateral and multilateral development partners, contractors, subcontractors, grantees, sub-grantees, and private sector alliance partners to help strengthen the financial services sector in the countries we work. Where programs propose cash distributions, partners should consider incorporating electronic payment systems into program design and implementation where feasible, thereby reducing reliance on physical cash.

If you are considering the use of electronic payments in your operations and programs, please include in your application a brief explanation of the selected method of electronic payment, and where feasible, how you propose to reduce the reliance on physical cash. Examples of operational costs that can use e-payments are: temporary staff salaries; vendor payments; travel per-diem for staff. Examples of program costs that can use e-payments are: cash for work payments; payment to trainers or trainers of trainers; direct grants to beneficiaries. This discussion of the type of payment is for informational purposes and for our understanding of how you propose to pay recipients/beneficiaries. This information will be used by USAID to understand and measure the impact of USAID's promotion of the use of electronic payments by implementing partners. The information provided in your proposal/application will not be an evaluation factor unless specifically stated as such in the evaluation criteria in this solicitation document.

**[END SECTION III]**

## **SECTION IV - APPLICATION AND SUBMISSION INSTRUCTION**

### **1. Submission of Applications**

#### **A. Application for Federal Assistance**

The applicant must fill out the SF-424, Application for Federal Assistance, as indicated by the form. A sample form is attached with the corresponding email, the family of SF-424 standard forms for SF-424 (**Annex A-1**), Application for Federal Assistance; SF-424 A (**Annex A-2**), Budget Information – Non-construction Programs; and SF-424 B (**Annex A-3**), Assurances – Non-construction Programs can be found at: <http://apply07.grants.gov/apply/FormLinks?family=15>.

#### **B. Content and Form of Application Submission**

Applications shall be submitted in two separate parts:

- 1) Technical Application Format and Submission Instruction Information.
- 2) Cost or Business Application Format and Submission Instruction Information.

Technical and Cost/business applications must be submitted separately. One original and four hard copies of each shall be submitted. Applications shall be submitted electronically via email followed by hard copy, as detailed below.

The applicant shall sign the application and certifications and print or type its name on the cover page of the technical and cost applications. 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. Applicants should retain for their records at least one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application.

Applications must be submitted no later than the date, time, and location indicated on the cover page of this RFA. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. **Late proposals will not be accepted. Acceptance is upon receipt of the hard copy NOT the electronic copy.**

- 1) Hard copy submission

Hard copies of applications shall be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost applications noted on the outside of the envelopes/packages.

Applicants are to submit one (1) original and four (4) hard copies each of their technical and cost applications. Applicants are instructed to submit technical and cost applications in response to the RFA as separate documents following the guidance provided herein.

Telegraphic or fax applications are NOT authorized for this RFA and will not be accepted. Hard copies are due at the time and date so indicated on the cover letter. **Applications only received in electronic form will not be considered.**

The address for hand-carried and courier-delivered applications is:

Ms. Dion Glisan, Contracting Officer  
US Agency for International Development  
8/F, PNB Financial Center  
Pres. Diosdado Macapagal Boulevard  
1308 Pasay City, Philippines  
Ref: RFA-492-12-000005  
Technical/Cost Proposal

2) Electronic copy:

On top of the hard copy submission please submit applications by email, (up to 5 MB limit per email) to the email addresses mentioned hereafter.

Applications shall be submitted electronically to the following email addresses:  
[manilaedugov@usaid.gov](mailto:manilaedugov@usaid.gov) and [dglisan@usaid.gov](mailto:dglisan@usaid.gov)

- Software for email attachments must be: Microsoft Word (for narrative text) and Excel (for budgets). All formulas in the Excel spreadsheets must be visible (no locked cells). Documents requiring a signature may be sent as a PDF.
- The attachment should be formatted with a 5MB limit per email. Because of USAID's system restriction, do not send zipped files. If this requires the delivery of multiple emails, please indicate in the subject line whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if the organization's name is ABXY Consulting, and the cost application is divided and being sent in as two emails, the first email should have a subject line which says: "USAID/Philippines, RFA-492-12-000005: ABXY, Cost Application, Part 1 of 2".
- After the application has been sent by email, please immediately check for confirmation that the attachments were indeed sent. If a transmission error is discovered, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to state that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc... Also, please do not send the same email to more than one time unless there has been a change, and if so, please note that it is a corrected email. If multiple copies are sent of the same email, USAID will not know if there has been any change from one email to the next.
- To avoid confusion, duplication, and overcrowding problems with USAID's email system, only one authorized person from the organization should send in the email submissions.

**Applicants are encouraged to obtain confirmation of receipt of their applications.**

### **C. Submission Dates and Times**

Applications must be received on or before the closing date and time indicated in the cover letter to this RFA. Late proposals will not be accepted. **Acceptance is upon receipt of the hard copy NOT the electronic copy.**

(Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest.").

## 2. Technical Application Format

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Technical applications should take into account requirements of the program and evaluation criteria found in Section V. Therefore it should be specific, complete and presented concisely. A lengthy application may not in and of itself constitute a well thought out application.

Technical applications shall **not exceed twenty five (25) pages using 11 point Calibri font, single-spaced using 8 ½ x 11 paper with 1-inch margins**. Pages should be numbered at the bottom. Unnecessarily elaborate brochures, art-work and other presentation aids beyond those sufficient to present a complete and effective application in response to this RFA are not desired, and may be construed as an indication of the prospective recipient's lack of cost consciousness. **Any pages in excess of the above mentioned limit shall not be reviewed.** Tables, charts, graphs and graphics contained in the technical application, not otherwise excluded below, are included within the above page limitation.

Applicants may use annexes for such required supplemental information. A listing of the required annexes are provided in item G below.

To facilitate the competitive review of the applications, applications must conform to the format prescribed below:

- A. Cover page [**not included in page limit**], to contain the following information:
  - RFA number and title for which this application is being submitted
  - Applicant Name, address, TIN, DUNS/CCR, and point of contact information for technical and cost applications; Applicants are encouraged to obtain their DUNS number and register with CCR. Applicants may submit applications without these. However, a DUNS number and CCR registration are required of any entity prior to receipt of an award.
  - Names of sub-awardees/sub-recipients, if any
- B. Table of Contents listing all page numbers and attachments [**not included in page limit**]
- C. List of acronyms [**optional and not included in page limit**]
- D. Executive summary [**included in page limit but not to exceed a one (1) page**]
- E. Body of the application describing the program's strategic fit and technical approach and the organization's qualifications and past experience, proposed outcomes and indicators [**included in page limit but not to exceed twenty (20) pages**]
- F. Management Plan and Key Personnel describing the program's project planning, implementation, coordination, and monitoring and evaluation mechanisms, including a brief description of who are being proposed for key personnel positions, and why they are deemed the most suitable candidates [**included in page limit but not to exceed four (4) pages**]
- G. Annexes [**not included in page limit**] should be lettered (e.g. Annex A, Annex B, etc...)
  - Required annexes:
    - Rapid mobilization plan for the first three months of the project
    - Draft life-of-project workplan, with gender action plan
    - Logical Framework (LogFrame)
    - Monitoring and Evaluation Plan (M&E Plan)
    - Organizational chart
    - Curriculum Vitae of key personnel (page limit 3 per CV)
    - Past Performance References (3 references)
  - Optional Annexes are permitted and may include curriculum vitae of additional named personnel and letters of commitment from partners

### **3. Technical Application Instructions**

The project management, institutional capacity, and staffing components of the application should include the information specified in the paragraphs below.

#### **A. Technical Approach**

EdGE shall be contributing to achieving the Mission's goal of improving reading outcomes for at least one million children in the early grades. It shall be fully aligned with USAID's Global Education Strategy, the Mission's emerging CDCS, and Philippine Government priorities. It will be building on host government's School-Based Management program, the Every-Child-A-Reader program as well as other reform initiatives currently being undertaken to improve learning outcomes. EdGE shall coordinate very closely with the Philippine Department of Education, with local government units, with other donors, and with other projects, especially USAID's upcoming Basa Pilipinas project.

With this as an overarching principle, applicants should focus on describing how they propose to contribute to the overall goal of one million children with improved reading skills, within the framework of improving education governance at the local level. Applicants should ensure that they respond to the guidance offered in the program description of this RFA.

The Technical Approach should present the Applicant's innovative ideas, approaches and strategies to implement the project components and achieve the results of the program. It should take into account the technical evaluation criteria specified in Section V. The technical application must set forth the conceptual approach and techniques for accomplishing the stated objectives.

For the purposes of evaluating applications, applicants are required to include in their technical application illustrative activities for each of the three components. Each application must include a complete activity description, specify deliverables, and identify the time, level of effort, commodities, and other resources required for each of the performance requirements listed. Each application must describe the kind of intended results/impacts and identify indicators, baselines and targets for the deliverables under each component. Applicants must present in a Logical Framework how the above elements are being captured.

The application should present the following:

- Approach – Describe detailed approaches, options and important considerations to guide implementation, sustainability, and exit strategy in reference to the project's overall goals and objectives in attaining the intermediate results. Include discussions of challenges, and how to surmount these through a thorough description of activities in reference to the project components.
- Arrangements – What arrangements are necessary to ensure that project inputs get translated to project outputs, and in turn project outputs into the project objectives and results?
- Partners – roles and capacity to implement the project, if any.
- Schedule – Indicate timeframe of the project, a rapid mobilization plan, and strategy for developing the detailed project implementation plan.

#### **B. Management Plan and Personnel**

##### **1) Management Plan**

Applicants are required to submit a management plan which outlines their overall management approach toward project planning, implementation, coordination, and monitoring and evaluation. They should clearly specify the roles of the staff and the relationships between all partners and stakeholders. The management plan should describe the general approach to management and oversight that will be followed including:

- a proposed organizational structure

- the rationale for the structure
- brief descriptions for the key positions in the structure
- coordination mechanisms with host government entities and other projects

Note that USAID believes that the Chief of Party, as senior strategist and project manager, will be vital in determining the prospects for success of the EdGE Project.

The plan should also outline how the Chief of Party (COP) will liaise with the Agreement Officer's Representative and the Office of Education, and reporting and management across sub-grantees and other partners, if any. Special attention should be given to how the collaborative relationships with the key stakeholders who are essential to the success of the project, will be managed.

Furthermore, the Applicant should describe:

- how project activities will be managed;
- how the project will be cost efficient;
- management structure and relationship to any field or regional office, if applicable;
- planned financial management and controls;
- plans for engaging with USAID, GPH and other donors and partners (both public and private);
- the gender consideration in the conduct of project activities
- contingency planning in case of any management issues that arise; and
- clear plan for communications and reporting with sub-grantees, if any

The management plan must include a rapid implementation plan and a draft life of project work plan for achieving the expected program results clearly outlining links between the proposed results, conceptual approach, and performance indicators, and propose a realistic timeline for achieving the program results in the Annex.

If you are considering the use of electronic payments in your operations and programs, please include in your application a brief explanation of the selected method of electronic payment, and where feasible, how you propose to reduce the reliance on physical cash. This description can be integrated into the implementation plan of the applicant. Payments covered under this may include disbursements of salaries, payments to vendors, payments to participants of programs, such as cash-for-work programs, emergency relief payments, and others. As part of USAID's Hortatory Language for Introduction of Mobile Money – Better Than Cash (BTC), applicants are requested to provide details on the mechanism should it propose to use electronic payment system in place of cash payments. Electronic payment systems include, but are not limited to, electronic funds transfers using bank accounts, pre-paid cards (bank issued magnetic or smart cards) using Point of Sale devices, mobile banking, and money transfer and payment systems available through mobile network operations and/or banks. The requested details would entail a brief explanation of the selected method of electronic payment, where feasible, how the applicant propose to reduce the reliance on physical cash.

**The information, however, on the electronic payment system description will not be used as part of the evaluation criteria.**

## 2) Personnel

Applicants should:

- Provide brief position descriptions for the key personnel and other full-time personnel;
- Discuss the field core staff role, composition, and organization;
- Discuss the organizational structure and its rationale; and
- Explain the applicant's ability to find qualified consultants and sub-awardees/sub-recipients.

The application must include a table or chart showing the composition and organizational structure of the entire implementation team. The COP, DCOP, and the Director for Administration and Financial Management will be considered key personnel. Proposed personnel not yet identified may be shown as "TBD" (to be determined).

Furthermore:

- A Curriculum Vitae (CV) should be provided for each key personnel and any other named full-time personnel (this information can be provided under an Annex);
- A statement signed by each person proposed as key personnel confirming his/her present intention to service in the stated position and his/her present availability to serve for the term of the proposed agreement, including rapid mobilization; and
- Three references for each key personnel, including telephone and email addresses for each reference (this information can be provided under an Annex)
- Resume of all other named personnel (not to exceed 3 pages per resume); and
- Three references for each candidate, including telephone, physical address, and email addresses for each reference (this information can be provided under an Annex)

All full-time personnel should be hired locally to the extent possible with optional use of highly qualified LTTA and STTA. Key personnel are considered to be essential to the work being performed and are comprised of the following positions:

- **Chief of Party**
- **Deputy Chief of Party**
- **Director of Administration and Financial Management**

Additionally, the applicant will propose an appropriate team that will manage the technical components of the project which may include the following specializations:

- Monitoring and Evaluation
- Community Mobilization
- Local Governance
- Local Finance
- Communications and Outreach

### 3) Institutional Experience

Applicants must offer evidence of their technical resources and organizational expertise in addressing relevant problems and issues. Care should be taken to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. Information in this section should include (but is not limited to) the following:

- Brief description of organizational history/expertise;
  - Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under the proposed RFA;
  - Activities in education governance, especially at the local level, as well as policy advocacy experience
  - Collaboration with donors and host country governments
- Evidence of a successful record of implementing projects in the Philippines. Applicants should describe U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, and others involving similar or related programs received by your organization during the five years before the application, providing further details in Past Performance References in an Annex;

- Relevant experience with proposed approaches;
- Institutional strength as represented by the breadth and depth of experienced sub-recipient capabilities and expertise.

#### 4) Required Annex Descriptions

##### i. Rapid Mobilization Plan:

The Applicant must submit a Rapid Mobilization Plan covering the first 90 calendar days of the project. The Plan should describe in detail the activities that the Applicant will promptly undertake, the hiring and placement of staff and other logistical and administrative activities. The plan should demonstrate the Applicant's ability to complete all the necessary requirements, especially in setting up field offices following the award of the agreement. The expectation is that the project will be operational within 45 days of the award.

##### ii. Draft Life of Project Work Plan:

The Applicant must develop annual work plans, aligned with each USG fiscal year of the agreement. A draft work plan must be submitted with the application, with Year One to be finalized with the AOR within 45 calendar days of signature of the Agreement. The Year Two work plan should be prepared and submitted to the AOR not later than 45 days before the close of Year One.

The work plan should include, at a minimum:

- Proposed accomplishments and expected progress towards achieving program results and performance measures tied to the Performance Management Plan (PMP);
- Timeline for implementation of the year's proposed activities, including target completion dates;
- Information on how activities will be implemented;
- Gender action plan that will define how gender will be integrated in the project cycle.
- Personnel requirements to achieve expected outcomes; and
- Details of collaboration with other major partners.

##### iii. Illustrative Monitoring and Evaluation Plan (M&E Plan):

The plan should identify appropriate milestones, gender sensitive indicators and targets, as well as plans to gather and utilize existing baseline data. The M&E is expected to reflect concern for results and include proper impact and output indicators. Applicants are encouraged to use the indicators suggested in the Program Description and additional USAID standard indicators as applicable. Indicators should be disaggregated by gender and age, as appropriate and feasible. The schedule for data collection and detailed plans for data analysis, review, and reporting should be described.

##### iv. Organizational chart:

Applicants must submit a detailed organizational chart for USAID's review. The organizational chart should be both structural and functional. At a minimum, it should clearly define the communication and reporting structure for Key Personnel and all project staff. The supervisory responsibility, authority, and accountability for all staff should be included in the chart. Relationship with the home office may be included, as can STTA staff, where appropriate. Functionally, the chart should include bullets to briefly describe job functions and roles of staff. The chart should not exceed two pages in length.

v. Past Performance and Experience References:

- Past Performance. The Applicant should present up to three contracts, grants, or cooperative agreements, not necessarily with USAID, in which the primary Applicant has implemented similar or related programs during the past three years. This information is to include projects of similar complexity and magnitude involving technical assistance to the education sector. If the Applicant is a consortium, provide information on past experience for all identified partners. Reference information is to include the contract information for an official point of contact, award or contract numbers, and a brief description of the work performed by the Applicant's partners and/or sub-awardees/sub-recipients. Copies of certificates of Project Completions or any evidentiary documentation should be forwarded as an Annex.
- Past Experience. Applicants may supply a table showing previous experience by award, not to exceed one page. In the table list, show the following:
  - Name of awarding organization or agency;
  - Address of awarding organization or agency;
  - Place of performance of services or program;
  - Award number;
  - Amount of award;
  - Term of award (begin and end dates of services/program);
  - Name, current telephone number, current fax number, and email address (if one is available) of a responsible technical representative of that organization or agency; and
  - Brief description of the program

vi. Sustainability plan:

Applicants must provide a preliminary sustainability plan of how project strategies and methodologies will be embedded within and/or transitioned to Government of Philippines institutions throughout the project performance period. This preliminary plan will include a set of annual benchmarks and indicators that quantify the increasing sustainability of these approaches. This should describe how the applicant plans to conduct this exercise and plans to influence the target local government units and help them establish a system to sustain and/or replicate the models. The Sustainability plan will not exceed two pages in length.

vii. 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 sub-award, must be marked appropriately overseas with the USAID Identity. 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 Agreement Officer will review for adequacy the proposed Marking Plan and will negotiate, approve and include the Marking Plan in the award. Failure to submit or negotiate a Marking Plan within the time specified by the Agreement Officer will make the apparent successful applicant ineligible for award.

22 C.F.R. 226.91(f) requires that Applicants submit a Branding & Marking Plan that describes:

- How the program, project, or activity is named and positioned;
- How it is promoted and communicated to beneficiaries and cooperating country citizens;
- Identifies all donors and explains how they will be acknowledged;
- Contains the required information on naming and positioning the USAID-funded program, project, or activity;

- Promotes and communicates to cooperating country beneficiaries and citizens that the USAID-funded program, project, or activity is “from the American People”; and
- Is consistent with the stated objectives of the award.

Further information on Branding & Marking can be found in ADS Chapter 320: <http://www.usaid.gov/policy/ads/300/320.pdf>, or in the Branding website at <http://www.usaid.gov/branding/assistance.html>.

#### 4. Cost/Business Application Format

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

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

##### A. Cost Submission

A budget narrative (in Microsoft Word) which provides in detail the total costs for implementation of the program. The budget narrative must provide detailed budget notes and supporting justification of all proposed budget line items. It must clearly identify the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, and if applicable, program activity cost contributions for in-kind services, USAID share amounts, cash contributions (all cash must be converted to US currency), or resource leveraging for the period of performance; a summary of the budget must be submitted using Standard Form 424 (Application for Federal Assistance), 424A (Budget Information – Non-construction Programs) and 424B (Assured-Non-construction Programs) which can be downloaded from <http://apply07.grants.gov/apply/FormLinks?family=15>. The above mentioned forms are found in **Annex A-1**, **Annex A-2** and **Annex A-3**, respectively. Budget should be expressed in US Dollars using the exchange rate of **P41 = \$1**.

A five-year budget of which an electronic copy of a budget (in Microsoft Excel) with calculations shown in the spreadsheet – calculations and formula shall be accessible and not hidden or protected by password should be submitted.

USAID will evaluate the cost/business application separately for cost effectiveness and realism. USAID will require the following detailed information from the applicant organization:

- 1) The cost/business application must be completely separate from the Applicant’s technical application, and submitted by using SF-424 (**Annex A-1**) and SF-424A (**Annex A-2**) “Application for Federal Assistance.” These forms can be downloaded online at <http://apply07.grants.gov/apply/FormLinks?family=15>
- 2) The Applicant must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word) on a sent via email and saved in CD-ROM. Calculations and formula shall be accessible and not hidden or protected by password.
- 3) The cost/business application must be for the period of the proposed program (five years) and use the budget format show in the SF-424A (**Annex A-2**). The form is downloadable online at <http://apply07.grants.gov/apply/FormLinks?family=15>. If the applicant proposes to charge any

training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.

- 4) If the Applicant is a consortium, the cost/business application must include documents that reflect the legal relationship among the parties. The document(s) should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement, identity of the applicant that will have accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement, and the express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.
- 5) Applicants must complete the required Representations and Certifications under **Annex B** with the cost/business application.
- 6) The Applicant’s proposed budget should provide estimates of the program based upon the total estimated costs for the Agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
- 7) The cost/business application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully program budgeting, financial and related program reporting procedures.
- 8) Applicants must provide detailed budget notes or narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:
  - The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, and/or regional offices;
  - The breakdown of all costs according to each partner organization involved in the program;
  - The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
  - The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
  - Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;
  - The costs proposed for “training” and “sub-awards” must be itemized within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget;
  - Procurement plan for commodities if needed (although not encouraged); and
  - Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement.
- 9) Applicants must provide cost element details:

Applicants shall provide this information through the use of detailed spreadsheets, budget narratives and footnotes. The following standard cost elements shall be included in the submission when applicable and include costs for each year. Individual subcontractors should include the same cost element breakdowns in their budgets as applicable.

<b>Cost Elements</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total</b>
1. Salaries and Wages						
2. Fringe Benefits						
3. Consultants						

<b>Cost Elements</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total</b>
4. Travel and Transportation						
5. Equipment and Supplies						
6. Sub-Awards						
7. Other Direct Costs						
8. Indirect Cost						
9. Estimated Cost (sum of 1 to 8)						
10. Cost Share						
11. Total Award Budget						

Note: Individual sub-awards proposed as part of application should include the same cost element break-downs in their budget as applicable

Illustrative description of the cost elements are provided below:

- a) Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
- b) Fringe Benefits – If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
- c) Consultants – If applicant proposes for short-term expert services rendered by persons who are members of a particular profession or possess a special skill and who are not officers or employees of the awardee/recipient. Costs of consultants should be broken down by person months or days;
- d) Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed scope of work, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned.
- e) Sub-award/Sub-grantee – Any goods and services being procured through a contract mechanism;
- f) Equipment and Supplies – Estimated equipment (i.e. model number, cost per unit, quantity) and office supplies and other related supply items;
- g) Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant’s fringe benefits), equipment, office rent, etc.;
- h) Indirect Costs – These remaining costs (indirect) that are to be allocated to intermediate or two or more final cost objectives. Indirect costs and bases as provided for in an applicant’s indirect cost rate agreement with the Government, or if approved rates have not been previously established with the Government, a breakdown of bases, pools, method of determining the rates and description of 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 Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.). If applicant does not have a NICRA, the following shall be included, as applicable:
  - Copies of the audited (by a certified public accountant or other auditor satisfactory to USAID) financial statements for the past three years;
  - Projected budget, cash flow and organizational chart; and
  - Organization chart, by-laws, constitution, and articles of incorporation, if applicable;

- Copies of applicable policies and procedures, including those related to accounting, purchasing, property management, and personnel; and
  - Copies of the Applicant's 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. Provide the name, address, and phone number of the cognizant reviewing official or with sufficient information to determine the reasonableness of the rates.
- i) Cost Share – a minimum amount (not lower than 5% of cost application amount) the applicant shall provide as share to the project budget

Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- Have adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
- 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.
- Has a satisfactory record of integrity and business ethics.
- Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).
- Proposed ceiling rate on all applicable indirect rates.

10) Cost Assumptions:

While the project sites are to be determined upon inception, the applicant must consider into its cost application budget provisions for offices at least one each in Mindanao and in Manila.

B. Business Submission

1) Required Certifications, Assurances

- A signed copy of Certifications and Assurances, which includes:
  - Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
  - Restrictions on Lobbying (22 CFR 227);
  - Prohibition on Assistance to Drug Traffickers (ADS 206); and
  - Certification Regarding Terrorist Funding (AAPD 04-14).

The Applicant must complete Standard Form 424 (Application for Federal Assistance), 424A (Budget Information – Non-construction Programs) and the SF-424B, Assured-Non-construction Programs, as indicated on the form. These forms are available at: <http://apply07.grants.gov/apply/FormLinks?family=15>.

- Other certifications and statements found in Certifications, Assurances, and Other Statements of the Recipient:
  - The Survey on Ensuring Equal Opportunity for Applicants;

- A Data Universal Numbering System (DUNS) number (See [Use of a Universal Identifier by Grant Applicants](#) for background information);
- A signed copy of Key Individual Certification Narcotics Offenses and Drug Trafficking, ([ADS 206.3.10](#)) when applicable; and
- A signed copy of Participant Certification Narcotics Offenses and Drug Trafficking ([ADS 206.3.10](#)) when applicable

Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

#### C. Intergovernmental Review

The application will be reviewed by both the Agreement official and a Technical Evaluation Committee.

#### D. Funding Restrictions

Funding restrictions such as limitations on allowable activities for a particular program, or limitations on direct costs, such as the purchase of equipment.

#### E. Other Submission Requirements

- Unnecessarily Elaborate Applications – Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- Proprietary Information – 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:
  - Mark data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, to mark the title page with the following legend:

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

- 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."

#### F. Explanation to Prospective Applicants

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions shall be received no later than the date listed on the cover page. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants

as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

#### G. Telegraphic or Faxed Applications

Telegraphic or faxed applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

### **5. Additional Considerations**

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. Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and the certifications, 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.

Applicants who have questions concerning the contents of this RFA should submit them in writing to USAID/Philippines/ROAA via email at [manilaedugov@usaid.gov](mailto:manilaedugov@usaid.gov) and [dglisan@usaid.gov](mailto:dglisan@usaid.gov) by no later than **July 23 2:00 p.m** .Manila, Philippines time. Any information given to one applicant concerning this RFA will also be furnished to all other applicants as an amendment to this RFA.

**[END SECTION IV]**

## **SECTION V - APPLICATION REVIEW INFORMATION**

### **1. Overview**

The criteria that all applications will be reviewed against are listed below so that Applicants will know which areas require emphasis in applications. Applicants should note that these criteria serve as the standard against which all technical information will be evaluated and serve to identify the significant matters which Applicants should address.

These technical evaluation criteria have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application(s). These criteria: a) identify the significant areas that Applicants should address in their applications; and b) serve as the standard against which the Technical Evaluation Committee (TEC) shall evaluate all applications. USAID will award to the Applicant(s) whose application(s) best meet(s) the program description. The Government may evaluate applications and award a cooperative agreement without discussions with Applicants. However, the Government reserves the right to conduct discussions if later determined by the Agreement Officer as necessary. Therefore, each initial offer should contain the Applicant's best terms from a cost or price and technical standpoint.

The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an Award to the applicants with whom discussions are being held.

### **2. Technical Evaluation Criteria**

The evaluation criteria prescribed herein have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which the Applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

- Technical, cost and other factors will be evaluated relative to each other, as described herein and prescribed by the Technical Application Format.
- The technical application will be scored by a Technical Evaluation Committee (TEC) using the criteria that includes: a) Technical Approach; b) Management Plan and Implementation Schedule; and c) Institutional Experience and Past Performance.
- The selection criteria below are presented by major category, with relative order of importance, so that applications will know which areas require emphasis in the preparation of applications.
- Prospective Applicants are forewarned that an application with the lowest estimated cost may not be selected if award to a higher priced application affords the Government a greater overall benefit. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.
- Technical applications will be evaluated according to the criteria prescribed below. The relative importance of each criterion is indicated by approximate weight by points. A total of 100 points is possible for the complete application.

To facilitate the review of applications, narrative portions of applications should be organized in the same order as the broad evaluation criteria; USAID/Philippines will examine the overall merit and feasibility of the applications, as well as specific criteria relevant to each component as elaborated below.

- Technical Approach
- Management Plan and Implementation Schedule
- Institutional Experience and Past Performance

A summary of technical evaluation criteria follows:

Evaluation Criteria	
1. Technical Approach	20 points
2. Management Plan and Implementation Schedule	60 points
a. Personnel (40 points)	
b. Management Plan and Schedule (20 points)	
3. Institutional Experience and Past Performance	20 points
TOTAL	100 points

Descriptions for each Criteria are as follows:

**A. Technical Approach (Criterion #1): 20 points**

The Technical Approach will be evaluated on overall merit and the feasibility of the program approach and strategies proposed with specific focus on:

Extent to which the application clearly describes the detailed approach to achieving the project’s overall goal, its objective, and intermediate results.

Extent to which the application demonstrates a clear understanding of the Philippine context in which this project is being implemented and includes general strategies and specific tactics that will have the greatest chance of success.

Extent to which the application demonstrates a clear understanding of the technical approach, issue focus, and specific government counterparts involved in each of the performance requirements mentioned above.

Extent of demonstrated awareness of past and current education-related assistance programs of USAID and other donors, and how to position this project vis-à-vis these other activities.

Extent to which the application demonstrates that the applicant understands, and is prepared to deal with, the prevalent challenges, constraints, and risks in each proposed activity.

**B. Management Plan and Implementation Schedule (Criterion #3): 60 points**

**1) Personnel – 40 points**

**2) Management Plan and Schedule – 20 points**

**Personnel (40 points).**

The Technical Evaluation Committee will examine how well the applicant has matched long- and short-term candidates with the skills needed to implement the project. USAID believes that proven ability to get results in the performance deliverables described above, especially within the context of

the education sector, will be essential. Consequently, the applicant should explain how and why the proposed personnel are particularly well-suited for their assignments. To reiterate, USAID believes that the COP, as senior strategist and project manager, will be vital in determining the prospects for success of the EdGE Project.

Applicant will be assessed on the soundness of the team composition and structure, and on whether or not the key personnel's experience and expertise is relevant and appropriate to achieve the objectives of the program.

**Management Plan and Schedule (20 points)**. Applicants will be evaluated on the completeness and feasibility of the plan for overall management planning, implementation, monitoring and evaluation with particular focus on:

- Organizational structure and the relationship/coordination mechanisms between all partners, affiliated projects, and other stakeholders
- Mobilization, planning, implementation, and coordination mechanisms;
- Implementation timelines;
- Potential for public-private partnerships in support of project objectives;
- Host government (DepED, local government units) involvement in the project;
- Monitoring and Evaluation Plan, key evaluation questions, and how baselines will be collected;
- Gender consideration. the extent to which the Applicant includes both men and women in all aspects of this program including participation and leadership in meetings, trainings, and other activities; extent to which performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:
  - (i) the different roles and status of women and men affect the activities to be undertaken; and;
  - (ii) the anticipated results of the work would affect women and men differently.

### **C. Institutional Experience and Past Performance (Criterion #3): 20 points**

Extent of the relevance of the applicant's:

- previous relevant experience to the program areas covered by EdGE, with special attention to working in the Philippines at local and national levels.
- demonstrated corporate capability with regard to its ability to field qualified staff, its ability to work with host government, its ability to coordinate and manage a broad range of activities being carried out by grantees, consultants, and sub-contractors; its ability to mobilize resources and personnel, and deliver results within a limited time frame; and its ability to ensure adequate cost control.

USAID will review the applicant's performance on the relevant projects in the areas of quality, timeliness, cost control, business relations. USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement.

The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant USAID past performance history, or in which information on past USAID performance is not available, the recipient will not be evaluated favorably or unfavorably on past performance. The "neutral" rating provided to any recipient lacking relevant USAID past performance history is at the agreement officer's discretion based on the past performance ratings for all other recipients. Prior to assigning a "neutral" past performance rating, the contracting officer may take into account a broad range of information related to an recipient's past performance.

### **3. Cost and Business Evaluation**

Cost applications will be evaluated separately and overall costs are considered less important than the strengths of the technical application. However, where technical applications are considered essentially equal, cost may be the determining factor in selecting a Recipient of the award. The applicant's proposed Cost and Business application will be evaluated for realism, completeness, allowability, allocability, cost-efficiency, and reasonableness. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

USAID/Philippines is not obliged to award a negotiated agreement on the basis of lowest proposed cost or to the Applicant with the highest technical evaluation score.

Supporting information should be provided in sufficient detail to allow a complete analysis of each line item cost. The applicant shall include a complete breakdown of the cost elements associated with each line item and those costs associated with any proposed subcontract/sub-awards (separate breakdown) as for each year of the contract.

#### **A. Cost**

The overall standard for judging cost applications will be whether:

- The cost presents the best value to the government for the technical approach proposed;
- It is realistic and consistent with the technical application; and
- Individual costs are considered reasonable based on an analysis to identify salaries and other cost categories considered to be excessive.

#### **B. Acceptability of Proposed Non-Cost Terms and Conditions**

An application is acceptable when it manifests the Applicant's assent, without exception, to the terms and conditions of the RFA, including attachments, and provides a complete and responsive application without taking exception to the terms and conditions of the RFA. If an Applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its application to be unacceptable. Applicants wishing to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so.

USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the application closing date. USAID also reserves the right to cancel the RFA at any time (including after application closing date).

### **4. Selection Process**

The overall evaluation methodology set forth above will be used by the Agreement Officer as a guide in determining the best value to the U.S. Government. This award will be made by the Agreement Officer to the responsible recipient whose application represents the best value to the U.S. Government after evaluation in accordance with the above technical and cost criterion under this RFA.

The cost application must be realistic, reasonable, allowable, allocable, and cost-effective. Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities.

The following adjectival scoring system will be used by the technical evaluation committee to assess each of the technical criteria and sub-criteria and the technical proposal as a whole, based on the quantitative score:

**“Outstanding”  
100-90**

**O** response to the criteria or sub-criteria exceeds the fullest expectation of the Government in that it is comprehensive, thorough and with exceptional merit. The applicant convincingly demonstrates that the requirements of the RFP statement of work have been fully analyzed and understood that will result in outstanding, effective, efficient and economical performance in the delivery of high quality deliverables under the award. The response to the criteria or sub-criteria has **no deficiencies or significant weaknesses**, and **few weaknesses** which combined, pose **no performance risk** to the government.

**“Very Good”  
89-80**

**B** response to the criteria or sub-criteria demonstrates overall competence, meets all Award minimum requirements and exceeds requirements in some areas but not all. The response to the criteria or sub-criteria demonstrates that the requirements were fully understood, and that execution under the Award would lead to the completion of all deliverables, and all work will be accomplishment in a timely, efficient, and economical manner. There are **NO deficiencies or significant weaknesses**. The response to the criteria or sub-criteria may have some weaknesses identified, but these are not expected to negatively affect the applicant's performance or the completion of deliverables. **No performance risk exists to the government.**

**“Acceptable”  
79-70**

**A** response to the criteria or sub-criteria demonstrates an understanding of the minimum requirements of the scope of work, and execution of the Award would lead to the satisfactory completion of the work in a timely, efficient, and economical manner. The response to the criteria or sub-criteria contains **no significant weaknesses**; however there may be a significant number of weaknesses found that will probably not adversely affect the awardee's/recipient's performance. The response to the criteria or sub-criteria represents an **overall low performance risk to the government.**

**“Marginal”  
69- 60**

**M** response to the criteria or sub-criteria minimally meets basic performance and capacity requirements of the Award and it demonstrates a limited understanding of the requirements of the scope of work. Execution under the Award would likely lead to unsatisfactory performance. The response to the criteria or sub-criteria contains deficiencies and significant weaknesses as well as several weaknesses that will negatively affect the awardee's/recipient's performance and the quality of the deliverables. The response to the criteria or sub-criteria represents **moderate performance risk to the government.**

**“Unacceptable”  
<60**

**U** response to the criteria or sub-criteria has many deficiencies and/or gross omissions: Failure to understand much of the scope of work necessary to perform the required tasks; failure to provide a reasonable, logical approach to fulfilling much of the Government's requirements; failure to meet many personnel requirements of the RFA. **Significant performance risk to the government**

Once an apparent successful applicant is identified, additional information and discussion may occur between the applicant and USAID Agreement Officer before the Agreement Officer makes the final award decision. Award may be made without discussions.

[END OF SECTION V]

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

### **1. Notification of Award**

The selected Applicant will be notified by email following the selection. The award document will be sent for review and signature.

### **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.

Any reference to “agreement” or “award” refers to the cooperative agreement awarded under this RFA, in response to an application determined by USAID to be suitable for funding.

### **3. Reporting**

The Recipient shall submit an original to the Washington AOTR, one copy to the Agreement Officer, and one electronic copy of the final report to the Development Experience Clearinghouse (DEC). Documents submitted to the DEC should be sent in original format via email to:

#### **Online (preferred)**

<http://www.dec.org/submit.cfm>

#### **Mailing address:**

Document Acquisitions  
USAID Development Experience Clearinghouse  
M/CIO/KM  
RRB M.01  
U.S. Agency for International Development  
Washington DC 20523  
E-mail: docssubmit@usaid.gov  
Fax: (202) 216-3515  
Phone: (202) 712-0579

Electronic documents must consist of only one electronic file that comprises the complete and final equivalent of a hard copy. They may be submitted online (preferred); on 3.5 inch diskettes, CD-R, or by mail. Electronic documents should be in PDF (Portable Document Format). Submission in other formats is acceptable but discouraged.

Each document submitted should contain essential bibliographic elements, such as, 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) strategic objective; and 6) date of publication;

When preparing reports, the contractor shall refrain from using elaborate art work, multicolor printing and expensive paper/binding, unless it is specifically authorized in the Contract Schedule. Wherever possible, pages should be printed on both sides using single spaced type.

#### **4. General Reports and Other Reporting Requirements**

Format of the final annual work plan, project performance reports, financial reports and success stories will be determined in conjunction with USAID/Philippines. The award recipient should ensure that all of the country-specific USG reporting requirements are met. Reports must be submitted in English

##### **A. Semi-Annual Progress Reports**

The award recipient should prepare and submit to USAID/Philippines Agreement Officer Representative a semi-annual report within 30 days after the end of the each semester (six months) with the exception of the semester ending September 30, 2013 when an Annual Report will be required and the final semester, when a Final Report is required. The report should contain, at a minimum:

- Progress (activities completed, benchmarks achieved, performance standards completed) since the last report by country and program area. The PMP should be attached;
- Problems encountered and whether they were solved or are still outstanding;
- Proposed solutions to new or ongoing problems;
- Success stories;
- Qualitative data on program achievements and results;
- Documentation of best practices that can be taken to scale; and
- List of upcoming events with dates.

##### **B. Quarterly Financial Reports**

The Recipient should submit quarterly financial reports to USAID no later than 10 calendar days prior the end of each USG fiscal quarter. They should be disaggregated at the program area and contain, at a minimum:

- Total award budget
- Total funds awarded to date by USAID (total funds obligated to date);
- Total funds previously reported as expended by applicant by main line items;
- Total funds expended in the current quarter by the applicant by main line items;
- Total funds expended (actual plus estimated accrued) towards the end of the report period
- Total unliquidated obligations by main line items;
- Unobligated balance of USAID funds;
- Estimated expenditures for remainder of year; and
- Estimated expenditures for remainder of project.

The Recipient should submit quarterly financial reports to USAID no later than 10 calendar days prior the end of each USG fiscal quarter. They should be disaggregated at the program area and contain, at a minimum:

##### **C. Final Report**

At the end of the program period, the Applicant will prepare a final report which highlights accomplishments against work plans, gives the final status of the benchmarks and results, addresses lessons learned during implementation and suggests ways to resolve constraints identified. The report should describe the achievements of the project in light of the history of USAID programming, the impact that USAID through this project has had in education governance, and provide recommendations for future interventions.

The Final Report should also include a summary of the projects finances, disaggregated at the program area and contain, at a minimum:

- Total award budget
- Total funds awarded by USAID
- Total funds expended by the applicant by main line items;

#### **D. Other Reports**

Occasionally, USAID/Philippines receives requests for information from other USAID offices, or other USG agencies. The recipient is expected to be responsive to these requests to the greatest extent possible.

#### **5. A description of any deviations from standard provisions**

There are currently no deviations from the standard provisions.

#### **6. Administrative and National Policy Requirements**

Any cooperative agreement resulting from this RFA will be administered in accordance with 22 CFR 226—Administration of Assistance Awards to U.S. Non-Governmental Organizations, applicable OMB circulars, and the Standard Provisions for U.S. Nongovernmental Recipients. For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental Recipients will apply. The applicant may obtain copies of the referenced material at the following websites:

22 CFR 226:

[http://www.access.gpo.gov/nara/cfr/waisidx\\_06/22cfr226\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html)

OMB circulars:

<http://www.whitehouse.gov/omb/circulars/>

Mandatory Standard Provisions for U.S. Nongovernmental Recipients:

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

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

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

The Applicable Standard Provisions are also found in the aforementioned websites; some applicable Standard Provisions are provided in full text below as well as other pertinent provisions:

##### **A. 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 contracts/subawards issued under this agreement.

##### **B. USAID Disability Policy - Assistance (December 2004)**

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://pdf.dec.org/pdf\\_docs/PDABQ631.pdf](http://pdf.dec.org/pdf_docs/PDABQ631.pdf)

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.

### **C. Reporting Sub-awards and Executive Compensation (October 2010)**

#### **1) Reporting of first-tier sub-awards.**

- a. **Applicability.** Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).
- b. **Where and when to report.**
  - (i) You must report each obligating action described in paragraph 1)a. of this award term to [www.fsrs.gov](http://www.fsrs.gov).
  - (ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
- c. **What to report.** You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

#### **2) Reporting Total Compensation of Recipient Executives.**

- a. **Applicability and what to report.** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –
  - (i) the total Federal funding authorized to date under this award is \$25,000 or more;
  - (ii) in the preceding fiscal year, you received—
    - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and
    - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and
  - (iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

- b. Where and when to report. You must report executive total compensation described in paragraph 2)a. of this award term:
- (i) As part of your registration profile at [www.ccr.gov](http://www.ccr.gov).
  - (ii) By the end of the month following the month in which this award is made, and annually thereafter.

**3) Reporting of Total Compensation of Subrecipient Executives.**

- a. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

- (i) in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

- b. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

- (i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

**4) Exemptions**

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- a. subawards, and
- b. the total compensation of the five most highly compensated executives of any subrecipient.

**5) Definitions. For purposes of this award term:**

- a. Entity means all of the following, as defined in 2 CFR part 25:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;

- (iii) A domestic or foreign nonprofit organization;
  - (iv) A domestic or foreign for-profit organization;
  - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- b. Executive means officers, managing partners, or any other employees in management positions.
- c. Subaward:
- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, —Audits of States, Local Governments, and Non- Profit Organizations||).
  - (iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- d. Subrecipient means an entity that:
- (i) Receives a subaward from you (the recipient) under this award; and
  - (ii) Is accountable to you for the use of the Federal funds provided by the subaward.
- e. Total compensation means the cash and noncash dollar value earned by the executive during the recipient’s or subrecipient’s preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- (i) Salary and bonus.
  - (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - (iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - (v) Above-market earnings on deferred compensation which is not tax-qualified.
  - (vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

**[End of Provision]**

## **D. Central Contractor Registration and Universal Identifier (OCTOBER 2010)**

- 1) Requirement for Central Contractor Registration (CCR).** Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.
- 2) Requirement for Data Universal Numbering System (DUNS) numbers.** If you are authorized to make subawards under this award, you:
  - a. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
  - b. May not make a subaward to an entity unless the entity has provided its DUNS number to you.
- 3) Definitions.** For purposes of this award term:
  - a. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
  - b. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. It can be obtained from D&B at [www.dnb.com](http://www.dnb.com). Note that applicants may submit applications under this RFA without DUNS. However, the selected applicant is required to provide the DUNS number prior to receipt of an award.
  - c. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
    - (i) A Governmental organization, which is a State, local government, or Indian tribe;
    - (ii) A foreign public entity;
    - (iii) A domestic or foreign nonprofit organization;
    - (iv) A domestic or foreign for-profit organization; and
    - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
  - d. Subaward:
    - (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
    - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, —Audits of States, Local Governments, and Non-Profit Organizations||).
    - (iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

e. Subrecipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

**[End of Provision]**

**E. Conscience Clause Implementation (Assistance) – Solicitation Provision (February 2012)**

- 1) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—
  - a. Shall not be required, as a condition of receiving such assistance—
    - (i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
    - (ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and
  - b. Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.
- 2) An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Mandatory Standard Provision titled —Notices|| as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.
- 3) In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror’s application will be evaluated based on the activities for which an application is submitted, and will not be evaluated favorably or unfavorably due to the absence of an application addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

**(End of Provision)**

**F. Conscience Clause Implementation (Assistance) (February 2012)**

An organization, including a faith-based organization that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

- 1) Shall not be required, as a condition of receiving such assistance
  - a. To endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
  - b. To endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

- 2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a) above.

**(End of Provision)**

**G. Condoms (Assistance) (June 2005)**

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, —USAID HIV/STI Prevention and Condoms. This fact sheet may be accessed at:  
[http://www.usaid.gov/our\\_work/global\\_health/aids/TechAreas/prevention/condomfactsheet.html](http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html).

**(End of Provision)**

**H. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance) (April 2010)**

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

2)a. Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a non-governmental organization or public international organization awardee/recipient/sub-awardee/sub-recipient agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.

b. The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

c. Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

d. Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:

- (i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;
- (ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
- (iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

3) The following definitions apply for purposes of this provision:

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

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

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

4) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

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

**(End of Provision)**

## **5. Sample Cooperative Agreement Schedule**

### **A. Purpose of Award**

The purpose of this Cooperative Agreement is to provide support for the program described in this Cooperative Agreement's "Program Description."

### **B. Period of Award and Obligation**

- 1) The effective date of this Cooperative Agreement is TBD. The estimated completion date of this Cooperative Agreement is TBD.
- 2) Funds obligated hereunder are available for program expenditures for the estimated period ending TBD.

### **C. Amount of Award and Payment**

- 1) The total estimated amount of this Cooperative Agreement for the period shown in A.2.1 above is TBD.
- 2) USAID hereby obligates the amount of \$TBD for program expenditures during the period set forth in A.2.2 above and as shown in the Budget below. The Recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.
- 3) Payment will be made to the Recipient by Letter of Credit in accordance with procedures set forth in 22 CFR 226 (NOTE: Letter of Credit is the "preferred payment method". However the Agreement Officer will select the appropriate method of payment in accordance with the applicability requirements set forth in 22CFR 226; i.e., letter of credit, advance payment or reimbursement.)
- 4) The payment office for this award is:

a. For Letter of Credit: Agency for International Development  
M/CFO/CMP/GIB-LOC Unit  
SA-44

1300 Pennsylvania Avenue, NW  
Washington, DC 20523-7700 U.S.A.

b. For Other than Letter of Credit: Regional Financial Services Center  
USAID/Philippines  
8/F PNB Financial Center  
Pres. Diosdado Macapagal Boulevard  
Pasay City, 1308, Philippines.

**D. Award Budget (to be filled in at time of award)**

The following is the Award Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226 (or relevant standard provision if award is to a non-US organization).

<b><u>BUDGET LINE ITEMS</u></b>	<b><u>Yr. 1</u></b>	<b><u>Yr. 2</u></b>	<b><u>Yr.3</u></b>	<b><u>Yr. 4</u></b>	<b><u>Yr. 5</u></b>	<b><u>Total</u></b>
Program Activities*	_____	_____	_____	_____	_____	_____
Indirect Costs	_____	_____	_____	_____	_____	_____
<b>Total USAID Amount</b>	=====	=====	=====	=====	=====	=====
Plus: Cost Share (Non-Federal)	_____	_____	_____	_____	_____	_____
Total Program Amount	_____	_____	_____	_____	_____	_____

\*Roll up of all four Project Components

**E. Reporting and Evaluation**

**1) Reporting**

**a. Financial Reporting**

The recipient shall account for expenditures for activities carried out under this project to ensure funds are used for their intended purposes. Financial reports shall be in accordance with 22 CFR 226.52.

(1) For Organizations with a Letter of Credit (LOC):

- (a) Quarterly Report: The recipient must submit an SF 425, the Federal Financial Report, via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>) within 45 calendar days following the end of each quarter. A copy of this form shall be simultaneously submitted to the Agreement Officer's Representative (AOR) and the USAID/Philippines Controller([aidmnlrfsc@usaid.gov](mailto:aidmnlrfsc@usaid.gov)).

(b) Final Report: The recipient must submit within 90 calendar days following the estimated completion date of this award and, in accordance with 22 CFR 226.70 – 72, the original and three (3) copies of the final Federal Financial Reports (SF-425) to: (a) USAID/Washington, M/CFO/CMP-LOC Unit ; (b) the Agreement Officer ([aidmnlorp@usaid.gov](mailto:aidmnlorp@usaid.gov)); (c) the Agreement Officer’s Representative (AOR), and (d) the USAID/Philippines Controller([aidmnlrfsc@usaid.gov](mailto:aidmnlrfsc@usaid.gov)). The electronic version of the final SF 425 must be submitted to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>) in accordance with paragraph A.5.1.a(1) above.

(2) For Organizations without a Letter of Credit (LOC):

(a) Quarterly Report: The Recipient must submit an SF 425, the Federal Financial Report, via electronic submission, within 45 days following the end of each quarter to the Agreement Officer’s Representative (AOR) and the USAID/Philippines Controller ([aidmnlrfsc@usaid.gov](mailto:aidmnlrfsc@usaid.gov)). The Recipient shall include, as an attachment to the SF-425, expenditures by budget line item per quarterly performance reporting requirements.

(b) Final Report: The Recipient must submit within 90 calendar days following the estimated completion date of this award and, in accordance with 22 CFR 226.70, the original and two copies of all final Federal Financial Reports (SF-425) to: (a) the Agreement Officer ([aidmnlorp@usaid.gov](mailto:aidmnlorp@usaid.gov)); (b) the Agreement Officer’s Representative (AOR), and (c) the USAID/Philippines Controller([aidmnlrfsc@usaid.gov](mailto:aidmnlrfsc@usaid.gov)).

Electronic copies of the SF-425 can be found at <http://www.whitehouse.gov/omb/grants/standardforms/ffreport.pdf> and <http://www.forms.gov/bgfPortal/docDetails.do?dId=15149>.

Line item instructions for completing the SF-425 can be found at: <http://www.whitehouse.gov/omb/grants/standardforms/ffinstructions.pdf>

## **b. Performance Reporting**

(1) Annual Implementation Plan

The Recipient will submit annual implementation plans to the AOR for approval. These will detail the work to be accomplished during the upcoming year and should include the Monitoring and Evaluation Plan (M&E Plan) (see below) as well as the estimated monthly funding requirements for the implementation of the program necessary to meet all program objectives within the award. Any budgets attached to an annual implementation plan are informational only. They do not supersede the approved budgets included in the Agreement. Any changes to the budget require prior approval of the Agreement Officer in accordance with 22CFR226.25 (or relevant standard provision in the case of award to non-US organization).

The scope and format of the annual implementation plan will be agreed to between the Recipient and the AOR during the first two weeks of award of the Agreement. The initial implementation plan is due forty-five (45) calendar days after the effective date of this award. Annual implementation plans thereafter are due one (1) month prior to the start of the following year of implementation. The AOR will respond to the recipient on the implementation plan within five (5) calendar days from receipt.

With the written concurrence of the AOR, annual implementation plans may be revised on an occasional basis as needed, to reflect changes on the ground. Appropriate revisions must also be made to the PMP.

As part of its initial implementation plan, and all annual implementation plans thereafter, the Recipient in collaboration with the USAID AOR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

## (2) Performance Reports

### (a) Semi-Annual Performance Reports.

Performance reports are required within thirty (30) days following the end of the reporting semester. The last semestral report of the reporting period shall be replaced by an annual report summarizing the entire previous year's accomplishments. Both periodic and annual progress reports shall be submitted in English electronically and in hard copy to the AOR.

The semi-annual report must briefly present the following information:

- (i) A comparison of actual accomplishments with the goals and objectives established for the period in the PMP. Whenever appropriate and the output of the project can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.
- (ii) Reasons why activities were delayed or established goals were not met, if applicable.
- (iii) Information on management issues, including administrative problems or problems with collaborators or implementing partners.
- (iv) Cumulative quantitative Monitoring and Evaluation data, including information on progress toward targets, and explanations of any issues related to the individual targets.
- (v) Anticipated future problems, delays, or conditions or constraints that may adversely impact implementation of the program.
- (vi) Information on security issues, especially as these affect project integrity and safety of cooperating and implementing partners.
- (vii) The status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs.
- (viii) Information on new opportunities for program expansion.
- (ix) Other pertinent information.

In order to conform to USAID's fiscal year and this award's own reporting requirements, the semi-annual performance reports, regardless of the date when this Cooperative Agreement is awarded, will cover the periods October -March, and April -September. Each semi-annual report shall be provided with an annex of all project outputs.

The required performance information must be supplied in the following standardized format:

- (i) Executive Summary – This section is a narrative summary of overall achievements against planned achievements and a brief description of any realized or potential performance challenges<sup>1</sup>. Achievements should be quantified against both principal and collateral agreement targets/indicators wherever possible, leaving detailed analysis for later sections.
- (ii) Summary Table - The Executive Summary should be followed by a table which identifies all results and their corresponding targets/indicators. Overall agreement goals for each target and indicator shall be identified as well as planned and actual goals for the reporting period. In addition, costs incurred by result or group of results should be identified as well as planned and actual expenditures for the reporting period. This table is intended to serve as an at-a-glance data summary.
- (iii) Correlation to PMP - In this section, the recipient should describe how the performance being reported was monitored. This description should reference the PMP methods used during the reporting period. If the PMP was not strictly followed, the Recipient should provide a rationale for not using it. All required standard/custom indicators provided in the program description MUST be included in PMP and discussed in this section.
- (iv) Result by Result Analysis – This section will provide detailed analysis of the results summarized above as well as additional narrative regarding the achievements and challenges.
- (v) Financial Summary - This section is not a financial report: rather, it summarizes financial expenditure data in reference to achievements and program element funding. The most tangible statement in this section will be one regarding whether spending towards each result is “less than anticipated, on target with estimates, or more than anticipated.” Reports which indicate that expenditures are less or more than anticipated will be supported with rationale detailing the probable cause(s). Reports which indicate that expenditures are more than anticipated must also include a plan for ensuring that the performance of the result will be met within the estimated Agreement budget for that result.
- (vi) Success Stories - At least four one-page success stories on project activities shall be submitted to USAID/Philippines in the periodic performance report. Review USAID guidance on “success stories’ available at <http://www.usaid.gov/stories/>.

(b) Final/Completion Report

The recipient will submit a final performance report within ninety (90) days after the estimated completion date. The recipient will prepare and submit three (3) copies of a final/completion report to the AOR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement.

The report shall:

- Contain an overall description of the activities under the Program during the period of this Cooperative Agreement, and the significance of these activities;
- Describe the methods of assistance used and the pros and cons of these methods;

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<sup>1</sup> Where performance challenges are caused by or related to management issues, the grantee shall include an additional reporting section on the matter, including the remedy taken or the proposed remedy to be taken.

- Present life-of-project results towards achieving the project objectives and the performance indicators, as well as an analysis of how the indicators illustrate the project's impact on the accomplishment of the program's overall objectives;
- Summarize the program's accomplishments, as well as any unmet targets and the reasons for them including leveraging; and
- Discuss the issues and problems that emerged during program implementation and the lessons learned in dealing with them.

One copy of the Final Report will be submitted to the Bureau for Program Policy Coordination/Center for Development Information and Evaluation (PPC/CDIE) at the following address:

Development Experience Clearinghouse (DEC)  
 8403 Colesville Road, Suite 210  
 Silver Spring, MD 20910  
 E-mail: [docssubmit@dec.cdie.org](mailto:docssubmit@dec.cdie.org)  
 Fax : (301) 558-7787  
 URL : <http://www.dec.org/index.cfm?fuseaction=docssubmit.home>

Standard Information for Reports: The title page of all reports to be submitted to USAID must include a descriptive title, the author's name, award number, the project title, the Recipient's name, the name of the USAID office, and the publication or issuance date of the report.

### (3) Monitoring and Evaluation Plan

The recipient will submit a final Performance Monitoring Plan (PMP) within ninety (90) days following the award's effective date and before major implementation actions are underway. The PMP will be based on the M&E Plan it had submitted with its application. It will, as a minimum, include the following:

- Description of the Recipient's established system of Monitoring and Evaluation. The first M&E Plan must validate the targets provided against the standard/custom indicators included in the Program Description. The established system refers to:
  - Organization-wide policies and procedures for monitoring and their relation to the award's M&E Plan.
  - Organizational staffing/expertise, roles, and responsibilities and how the staffing and expertise is to be used in the award's M&E Plan, including the roles of contractors and subgrantees.
  - Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data.
  - Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems.
  - Means of addressing a discovered lack of progress or success. Procedures will focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.
- Information about all activities to be monitored under the M&E Plan. The list of activities must be provided in a logical framework which:
  - Links activities to Agreement results—both those dictated by USAID in the program description and lower level or complementary results contained in the Recipient's approach.
  - Describes assumptions being made about the relationship of the activity to the Agreement result.

- Identifies the indicators against which progress is to be measured. The M&E Plan must include all required standard/custom indicators provided in the program description.
  - Includes methods to be used for monitoring. Methods for monitoring vary according to what it is being monitored. Some activities can be observed easily and costs and outputs can be measured against the original targets and timetable. Other activities are less easy to monitor in terms of quantitative achievements, especially such intangible effects as awareness and empowerment and their direct link to program interventions. Indirect or proxy indicators may have to be identified, even if these cannot be verified. By considering these factors at the planning stage, expected results can be kept realistic and cost-effective and the Recipient can recognize that not all available and useful indicators are 'objectively verifiable.'
  - Provides an illustrative schedule for discrete monitoring activities tied to the overall program implementation plan.
- Gender Consideration:

To the greatest extent possible, the Recipient will seek to include both men and women in all aspects of this program including participation and leadership in e.g., meetings, training, etc. The Recipient shall collect, analyze and submit to USAID sex-disaggregated data and proposed actions that will address any identified gender-related issues.

In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:

- The different roles and status of women and men affect the activities to be undertaken; and
- The anticipated results of the work would affect women and men differently.

#### (4) Project Closeout Plan

Within ninety (90) days of the project's estimated completion date, the Recipient will submit to the AOR for review, a draft closeout plan which incorporates (a) the property disposition plan; (b) the in-country operations phase out plan; (c) the delivery schedule for all reports or other deliverables required under the award, and; (d) a time line for completing all required closeout actions, including the submission date of the final property disposition plan, and; (e) includes draft turnover documents.

## 2) Branding Strategy and Marking Plan

### a. Branding Strategy

Within forty-five (45) calendar days after the effective date of this award, the Recipient will submit to the Agreement Officer, through the AOR, its Branding Strategy for final approval. The Branding Strategy shall describe how the program is to be named and positioned, how it will be promoted and communicated to beneficiaries and cooperating country citizens, and shall identify all donors, if any, and how they will be acknowledged. (See <http://www.usaid.gov/policy/ads/300/320.pdf>)

b. Marking Plan

Within forty-five (45) calendar days after the effective date of this award, the Recipient will submit to the Agreement Officer, through the AOR, its Marking Plan for final approval. The plan will describe how the USAID Identity will be used in the project. Failure to submit or negotiate a Marking Plan within the time specified by the Agreement Officer is sufficient reason to terminate the award.

**3) Evaluation**

The recipient is responsible for ongoing monitoring and evaluation (typically formative and mid-term evaluations) that inform management decisions by assessing whether the project is being implemented as planned, reaching targeted groups, and achieving expected outputs and outcomes. If appropriate, the EdGE project will be evaluated externally by a third party evaluation contractor to be commissioned by USAID towards the end of the period of performance.

**4) Reporting Matrix**

<u>Type of Submission</u>	<u>Due Date</u>	<u>Distribution</u>
<u>Annual Implementation Plan</u>	Within 45 days after award. Annually thereafter, 30 days prior to start of subsequent year of implementation.	AOR
<u>Financial Status Report</u>		
a) Quarterly Status Report	Within 30 days after the end of the quarter being reported.	DHHS (if applicable); AOR; Controller
b) Final Report	Within 90 days after end of project.	DHHS and WCFO/CM-LOC Unit (if applicable); AO; AOR; Controller
<u>Performance Report</u>		
a) Quarterly Report	Within 30 days after the end of the quarter being reported.	AOR
b) Final/Completion Report	Within 90 days after end of project.	AOR; AO; DEC/CDIE
<u>Monitoring &amp; Evaluation Plan</u>	Within 45 days after award.	AOR
<u>Close-out Plan</u>	Within 90 days before end of project.	AOR; AO
<u>Branding Strategy - Final</u>	Within 45 days after award.	AO; AOR
<u>Marking Plan - Final</u>	Within 45 days after award.	AO; AOR

**E. Indirect Cost Rate (if applicable)**

Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs shall be reimbursed on the basis of the following negotiated provisional or predetermined rates and the appropriate bases:

<u>Description</u>	<u>Rate</u>	<u>Base</u>	<u>Type</u>	<u>Period</u>
TBD	TBD	TBD	TBD	TBD

**F. Title to Property**

Title to property acquired by the Recipient during life of project using award funds will be determined at the time of award.

**G Authorized Geographic Code**

The authorized geographic code for procurement of goods and services under this award is 937 – the United States, the recipient country, and developing countries other than advanced developing countries, excluding any country that is a prohibited source.

**H. Cost Share**

*There is no cost share required of the Recipient under this award.*

As cost share, the Recipient agrees to expend an amount not less than \$ TBD or TBD % of the total USAID activity costs.

**I. Substantial Involvement**

USAID will be substantially involved in the implementation of the project in the following manner:

- 1) Key Personnel. The Agreement Officer will provide prior written approval of the Key Personnel positions listed below which are essential to the successful implementation of the project:

*(The Applicant will provide the list of Key Personnel positions, their minimum qualifications, and proposed candidates' names.)*

- 2) Annual Implementation Plan. The AOR will provide written approval of the recipient’s Annual Implementation Plan. At the time of award, if the Program Description does not establish a timeline for the planned achievement of first year milestones or outputs in sufficient detail, the AOR may approve the plan at a later date. USAID will not require approval of these plans more often than annually.

- 3) Joint Collaboration:

- a. The AOR will provide concurrence for any sub-award over \$50,000 if the sub-awardee/sub-recipient was not mentioned by name in the recipient’s technical application and included in the cost application. The AOR reserves any further approval rights for sub-awards and may provide input for sub-awards to local organizations.
- b. The AOR will provide approval of the recipient's Monitoring and Evaluation Plan.
- c. The AOR will provide protocol guidance to the recipient for communicating with high level GPH officials (e.g. advance notification of all substantive meeting with Secretary-level, Assistant Secretary-level and higher-level officials in order to provide opportunity to participate).

- d. The AOR will provide guidance to the recipient in setting project direction with GPH counterparts for implementation.
- e. The AOR will lead the discussion/resolution of specific implementation issues with the GPH.

## **J. Special Provisions**

### **1) Environmental Compliance**

- a. 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. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Agreement.
- b. 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.
- c. No activity funded under this 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.")
- d. An Initial Environmental Examination (IEE) [#Asia12-71 dated 4-4-2012] has been approved for the EdGE Project funding this RFA. The IEE covers activities expected to be implemented under a Cooperative Agreement. The activities are entirely within one of the categories listed in Paragraph (c)(1), "Categorical Exclusions" of Section 216.2, "Applicability of Procedures", of Title 22CFR Part 216, "AID Environmental Procedures", it has been determined that the activity is fully within the class of Categorical Exclusions, specifically, "Education, technical assistance, or training programs: [22CFR 216.2(c)(i)]."
- e. As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID AOR and the Mission Environmental Officer (MEO) or BEO, as appropriate, will review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.
- f. When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an Environmental Assessment (EA), the recipient shall:
  - (1) Unless the approved Regulation 216 environmental documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to the proposed project activity within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

- (2) Integrate a completed EMMP or M&M Plan into the initial Work Plan.
  - (3) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.
- 2) To be determined.

#### **K. Agreement Officer's Representative (AOR)**

The Agreement Officer's Representative (AOR) is authorized to perform all of the routine monitoring and administrative responsibilities associated with this award except those which involve changes in the period, purpose, funding, or terms and conditions of this award. In the event of any question concerning the authority of the AOR to take any specific action, it is the responsibility of the recipient to bring the issue to the attention of the Agreement Officer. The AO will designate the AOR for this award by a separate letter.

#### **L. Additional Provisions**

##### 1) Press Relations

The Recipient will coordinate all press inquiries and statements with the AOR. The Recipient shall seek approval from the AOR before agreeing to an interview or allowing staff to be interviewed by the press. The recipient will not speak on behalf of USAID and will refer all requests for USAID information to the AOR.

##### 2) Central Contractor Registration and Universal Identifier (Oct 2010)

- a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.
- b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:
  - (1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
  - (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.
- c. Definitions. For purposes of this award term:
  - (1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
  - (2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
  - (3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part

25, subpart C:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization; and
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
- (iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

3) Reporting on Taxation of U.S. Foreign Assistance

(a) Reporting of Foreign Taxes. The Recipient must annually submit a final report by April 16 of the next year.

(b) Contents of Report. The reports must contain:

- (i) Recipient name.
- (ii) Contact name with phone, fax and e-mail.
- (iii) Agreement number(s).
- (iv) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year.
- (v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).
- (vi) Any reimbursements received by the Recipient during the period in (iv) regardless of when the foreign tax was assessed plus, for the interim report, any reimbursements on the taxes reported in (iv) received by the Recipient through October 31 and for the final report, any reimbursements on the taxes reported in (iv) received through March 31.
- (vii) The final report is an updated cumulative report of the interim report.
- (viii) Reports are required even if the Recipient did not pay any taxes during the report period.
- (ix) Cumulative reports may be provided if the Recipient is implementing more than one program in a foreign country.

(c) Definitions. For purposes of this clause:

- (i) "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.
- (ii) "Commodity" means any material, article, supply, goods, or equipment.
- (iii) "Foreign government" includes any foreign governmental entity.
- (iv) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

(d) Where. Submit the reports to: USAID/ Philippine's Regional Financial Service Center.

(e) Subagreements. The Recipient must include this reporting requirement in all applicable subcontracts, subgrants and other subagreements.

#### 4) Nondiscrimination (June 2012)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the basis of race, color, national origin, age, disability, or sex under any program or activity funded by this award when work under the grant is performed in the U.S. or when employees are recruited from the U.S.

Additionally, USAID is committed to achieving and maintaining a diverse and representative workforce and a workplace free of discrimination. Based on law, Executive order, and Agency policy, USAID prohibits discrimination, including harassment, in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, disability, age, veteran's status, sexual orientation, genetic information, marital status, parental status, political affiliation, and any other conduct that does not adversely affect the performance of the employee.

In addition, the agency strongly encourages its recipients and their subrecipients and vendors (at all tiers), performing both in the U.S. and overseas, to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees on these expanded bases, subject to applicable law.

#### **M. Applicable Regulations and References**

Standard Provisions will be provided in full text, as applicable, in the resultant agreement.

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients <http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non U.S. Nongovernmental Recipients <http://www.usaid.gov/policy/ads/300/303mab.pdf>
- **22 CFR 226** USAID Assistance Regulations [http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)
- **22 CFR 228** "Procurement of Commodities and Services Financed by USAID Federal Program Funds." <http://www.gpo.gov/fdsys/search/pagedetails.action?browsePath=2012%2F01%2F01-10%5C%2F3%2FAgency+for+International+Development&granuleId=2011-33240&packageId=FR-2012-01-10&fromBrowse=true>
- **ADS Series 303 Acquisition and Assistance** <http://www.usaid.gov/policy/ads/300/303.pdf>

-End of Schedule-

**[END SECTION VI]**

## **SECTION VII – AGENCY CONTACTS**

The applicant may contact the following USAID personnel with all questions regarding the EdGE RFA in writing:

By Mail

U.S. Agency for International Development

Attn: Ms. Dion Glisan

Contracting Officer

8/F, PNB Financial Center

Pres. Diosdado Macapagal Boulevard

1308 Pasay City, Philippines

Email ATTN:

Ms. Dion Glisan at [manilaedugov@usaid.gov](mailto:manilaedugov@usaid.gov) and [dglisan@usaid.gov](mailto:dglisan@usaid.gov)

**[END SECTION VII]**

## **SECTION VIII – OTHER INFORMATION**

### **1. USAID Rights and Funding**

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 meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.

### **2. Title to Property**

Title to property will vest with the recipient, subject to the conditions in 22 CFR 226.34.

### **3. Authorized Geographic Code**

The authorized geographic code for procurement of goods and services for the anticipated award is 937.

### **4. Program Income**

The Recipient shall account for Program Income in accordance with 22 CFR 226.24 (or the Standard Provision entitled Program Income for non-U.S. organizations). Program Income earned under this award shall be added to the project.

### **5. Other Provisions and Requirements**

#### **A. Environmental Provisions**

##### 1) Statutory and Regulatory Requirements

a. 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. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this cooperative agreement.

b. In addition, 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.

c. 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.")

2) An Initial Environmental Examination (IEE) was approved on December 14, 2010, for the Office of Development Partners' GDA, funding this cooperative agreement. The IEE covers activities expected to be implemented under this cooperative agreement. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This

indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award, including all sub-awards.

The following conditions apply:

- All implementing partners and participating volunteers will be provided with and will familiarize themselves with any existing Initial Environmental Examinations (IEEs) or Environmental Assessments (EAs) and associated conditions (mitigating measures) covering USAID projects they will be supporting during their volunteer activity.
- The implementing NGO will be required to ensure that the volunteers are briefed on environmental requirements prior to beginning their volunteer activity.
- If during implementation, activities are considered other than those described in this IEE, an amended IEE shall be submitted for approval prior to implementation of any additional activities. If so indicated by the amended IEE, additional environmental review and documentation may be required prior to implementation of the new activities.

### 3) Program Activities

- a. As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer's Technical Representative (AOTR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- b. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
- c. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

### 4) Mitigation and Monitoring Plan

- a. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
- b. Integrate a completed EMMP or M&M Plan into the initial work plan.
- c. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

## **B. Non-Federal Audits**

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

## **C. Foreign Government Delegations to International Conferences (Apr 2011)**

Funds provided under the award may not be used to finance the travel, per diem, hotel expenses, meals, conference fees, or other conference costs for any member of a foreign government’s delegation to an international conference sponsored by a public international organization, unless approved by the Agreement Officer.

## **D. Applicable Regulations & References**

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients  
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:  
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)
- OMB Circular A-122  
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>
- OMB Circular A-110  
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ADS Series 300 Acquisition and Assistance  
<http://www.usaid.gov/pubs/ads/>
- Governing Regulations, Standard Provisions and Required Certifications to be Submitted  
[www.usaid.gov/policy/ads/300/303.pdf](http://www.usaid.gov/policy/ads/300/303.pdf)
- SF-424 Downloads and SF-425 Downloads  
<http://apply07.grants.gov/apply/FormLinks?family=15>  
[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf) and  
[http://www.whitehouse.gov/sites/default/files/omb/grants/standard\\_forms/SF-425\\_instructions.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/SF-425_instructions.pdf)

[END SECTION VIII]