



# USAID | PHILIPPINES

FROM THE AMERICAN PEOPLE

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**Request for Application Clarification Questions Due: February 15, 2013**

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**Closing Time: 2:00 p.m. Manila, Philippines Time**

**Subject:** Request for Application (RFA) **RFA-492-13-000003**  
**RFA Title:** Science, Technology, Research and Innovation for Development (STRIDE) Program

Dear Prospective Applicant:

The United States Government, represented by the United States Agency for International Development (USAID)/Philippines, is seeking applications from a U.S. and local nongovernmental organization, academic institutions, for-profit organizations, or a consortium of such organizations. USAID/Philippines proposes to enter into a Cooperative Agreement with one organization or a consortium of such organizations to support USAID/Philippines' Office of Education's program entitled "**Science, Technology, Research and Innovation for Development (STRIDE)**" 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 organization, large or small, commercial (for- and non-profit), faith-based, partnerships may apply. 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 (for example 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 maximum grant of US\$32 million 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 RFA by contacting USAID/Philippines/ROAA via email at [manilastride@usaid.gov](mailto:manilastride@usaid.gov).

Any questions concerning this RFA should be submitted in writing to Mr. Franco Calixto via email at [manilastride@usaid.gov](mailto:manilastride@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 "Science, Technology, Research and Innovation for Development (STRIDE)". 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 as 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. Any late or incomplete applications will only be considered at the discretion of the Agreement Officer. 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, four copies and an electronic (email) copy. The cost or business application shall consist of one original, one copy 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**

Andrew Holland, CPCM  
 Supervisory Agreement Officer  
 U.S. Agency for International Development  
 Attn: Franco Joshua Calixto  
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 8/F, PNB Financial Center  
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**E-mail**

Mr. Franco Calixto at the following email addresses: [manilastride@usaid.gov](mailto:manilastride@usaid.gov) and [orpmailbox@usaid.gov](mailto:orpmailbox@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//

Andrew Holland, CPCM  
Supervisory Agreement Officer  
USAID/Philippines

## List of Acronyms

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AAPD	Acquisition and Assistance Policy Directive
ADB	Asian Development Bank
ADS	Automated Directives System
AO	Agreement Officer
AOR	Agreement Officer's Representative
ASEAN	Association of Southeast Asian Nations
CCR	Central Contractor Registration
CDI	Cities Development Initiative
CDCS	Country Development Cooperation Strategy
CFR	Code of Federal Regulation
CHED	Commission on Higher Education
COP	Chief of Party
CV	Curriculum Vitae
DCOP	Deputy Chief of Party
DOST	Department of Science and Technology
DUNS	Data Universal Numbering System
ERDT	Engineering Research and Development
FACTS	Foreign Assistance Coordination Tracking System
FAR	Federal Acquisition Regulation
GERD	Gross Expenditure on Research and Development as a percent of Gross Domestic Product
GII	Global Innovation Index
GPH	Government of the Philippines
HEP	Higher Education and Productivity
HESN	Higher Education Solutions Network
ICT	Information and Communications Technology
IMD	International Management Development
IPOPHIL	Intellectual Property Office of the Philippines
IPR	Implementation and Procurement Reform
IR	Intermediate Result
ISI	Institute for Scientific Information
ITSO	Innovation and Technology Support Office
LOC	Letter of Credit
M&E	Monitoring and Evaluation
M.S.	Master of Science
NEDA	National Economic and Development Authority
NGO	Non-governmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement
NSF	National Science Foundation
OEd	Office of Education
OMB	Office of Management and Budget
PBE	Philippine Business for Education
PCARI	Philippine-California Advanced Research Institutes
PDP	Philippine Development Plan
PEER	Partnerships for Enhanced Engagement in Research
PFG	Partnership for Growth
Ph.D.	Doctor of Philosophy
PhilDev	Philippine Development Foundation
PMP	Performance Management Plan

PWDs	Persons with Disabilities
R&D	Research and Development
RFA	Request for Application
ROAA	Regional Office of Acquisition and Assistance
SCIE	Science Citation Index, Expanded
S&T	Science and Technology
STI	Science, Technology and Innovation
STRIDE	Science, Technology, Research and Innovation for Development
STTA	Short Term Technical Assistance
TEC	Technical Evaluation Committee
TIN	Taxpayer Identification Number
UNESCO	United Nations Education, Scientific and Cultural Organization
USAID	United States Agency for International Development
USG	United States Government
U.S.	United States
WB	World Bank

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## **SECTION I – PROGRAM DESCRIPTION**

### **1. Introduction**

The United States Agency for International Development in the Philippines (USAID/Philippines) is soliciting applications from a university, a for-profit organization, a non-profit organization, or a consortium of such organizations to implement a higher education program in the Philippines called the Science, Technology, Research and Innovation for Development (STRIDE) Program.

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

The overall objective of STRIDE is to strengthen the science, technology, research, and innovation capacity in Philippine higher education -- with a focus on disciplines that contribute to high-growth economic sectors as a means of stimulating and accelerating broad-based economic growth.

STRIDE will improve the research capacity and output, as well as the qualification of faculty and staff in select programs and universities in the Philippines. It will also strengthen linkages between industry and academia in high-growth economic sectors such as manufacturing and information technology. The program will strengthen or establish partnerships between U.S. and Philippine universities. STRIDE will work with select universities nationwide, but it will contribute to the goals of USAID/Philippines' Cities Development Initiative. STRIDE is a Cooperative Agreement, and subject to availability of funds, the maximum award amount is US\$32million to be incrementally funded over five years.

For the science, technology and innovation ecosystem, USAID's medium- to long-term strategic investments in higher education in the Philippines will: strengthen research systems, institutions, and human capacity to make higher education institutions regionally competitive; create robust international linkages to facilitate transfer of technology and expertise; and, most importantly, build sustained, vibrant collaboration with the private sector -- broadly defined to include industry, professional and industry associations, venture capitalists, and private voluntary organizations among others. Institutionalizing such collaboration will ensure the relevance and quality of university research, extension services, training, and teaching, enable the joint pursuit of valuable applied research, and create a set of self-sustaining university-business working relationships that foster innovation and growth on an ongoing basis.

#### **B. Strategic Context of the Program**

USAID/Philippines Country Development Cooperation Strategy and the Partnership for Growth. USAID/Philippines is in the process of finalizing its next-generation Country Development Cooperation Strategy (CDCS) that will guide its programming for the next five years. The emerging CDCS is focused on taking the Philippines to a higher growth path and sustaining these gains. The ultimate objective is to achieve a more stable, prosperous and well-governed nation through accelerating and sustaining broad-based and inclusive growth, improving peace and stability in Mindanao, and increasing resilience to disasters. An intermediate result to the development objective of achieving sustained broad-based and inclusive growth is improving the quality of education through: strengthening education governance, improving reading skills at the primary grades, and enhancing the performance of higher education institutions.

A key initiative in this strategy is the Partnership for Growth which represents a new framework for deepening and strengthening U.S.-Philippines bilateral engagement towards promoting broad-based and inclusive economic growth. The goal of PFG is to assist the Philippines move from a low growth path to a higher, sustained and more inclusive growth trajectory in line with other high-performing

emerging economies. Its interventions are focused on the three interrelated areas of improving regulatory quality, strengthening the rule of law, and enhancing fiscal performance.

Under the general area of improving regulatory quality, USAID/Philippines will work towards enhancing human capacity for economic growth. It will provide assistance to strengthen higher education institutions in the country to serve as key drivers for innovative, sustained economic growth. PFG efforts will support the establishment of links between U.S. universities, local higher education institutions, and the private sector to strengthen faculty development, accelerate transfer of technology, support the formation of patent officers in universities, and spur collaborative research that lead to innovation.<sup>1</sup>

Cities Development Initiative. As an integral part of PFG, the Cities Development Initiative (CDI) was launched to assist the Philippines promote higher, sustained and more inclusive growth by providing a range of development interventions in targeted cities. CDI is a paradigm shift; a different way of thinking about development. CDI will support selected cities to be drivers of growth. With this initiative, the U.S. Government and the participating city hold mutual responsibility for promoting growth through appropriate policies and incentives, greater transparency and accountability, and increased competitiveness. Three of the most dynamic cities have been selected to be part of the initial CDI sites: Batangas City in Luzon, Iloilo City in the Visayas, and Cagayan de Oro City in Mindanao. Other cities may be identified in the near future.

Philippine Government Priorities. At the core of the new Philippine Development Plan (PDP)—the country’s medium-term development plan which will run from 2011 to 2016—is fully implementing the government’s “Social Contract” with the Filipino people through the pursuit of inclusive and broad-based growth, with education and the use of science technology and innovation as a key driver of this growth.

The PDP identifies five key strategies for achieving this ultimate goal, with increased competitiveness in the productive sectors and the development of human resources as two of these. It also underscores the need to create “(a) globally-competitive and innovative industry and services sectors that contribute significantly to inclusive growth and employment generation”, and an intensified “culture of competitiveness”, through market-sensitive education and training for the country’s human capital. The Philippine government is looking to an upgraded quality of higher education, including science and technology courses, to achieve a higher level of productivity, international competitiveness, industry relevance, and social responsiveness in the development of both middle-level skills and the high-level professions.<sup>2</sup>

GPH-U.S. Science and Technology Agreement. The Philippines and the United States signed a bilateral Science and Technology Agreement on June 2012, which gives voice to the high priority both countries place on science technology and innovation. The purposes of the Agreement are “to strengthen scientific, technological and institutional capabilities...to broaden and expand relations between the scientific and technological communities in both countries, and to promote scientific and technological cooperation in areas of mutual benefit”.

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.

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<sup>1</sup>([http://manila.usembassy.gov/partnership\\_for\\_growth.html](http://manila.usembassy.gov/partnership_for_growth.html))

<sup>2</sup>(<http://www.neda.gov.ph/PDP/rm/pdprm2011-2016.pdf>)

The ultimate objective of the strategy is to advance sustained and inclusive economic and social development through improved learning outcomes. The second pillar, higher education development, focuses in part on improving the quality of tertiary education and research in strategically selected disciplines that support development priorities. The strategy specifically highlights the importance of “fostering and promoting institutional autonomy and accountability, encouraging diversity of educational models, fostering robust working relationships between tertiary education institutions and external stakeholders (e.g. business), encouraging competition and collaboration, and strengthening regional partnerships” which together can “reduce inefficiencies and promote innovation, all of which will enhance country ability to more effectively address development priorities.”<sup>3</sup>

USAID Forward. USAID is embarking on initiatives that place innovation at the heart of its development work. The overarching framework is “USAID Forward”, a reform effort to change the way USAID does business, with new partnerships, a relentless focus on results, and an emphasis on innovation. Science, technology, and innovation are a piece of how the reform initiative works. USAID is building science and technology capacity in developing countries through cooperative research grants, improved access to scientific knowledge, and higher education and training opportunities.<sup>4</sup>

STRIDE will operate within the parameters set by USAID’s Global Education Strategy, USAID/Philippines CDCS, and Philippine government priorities. All these converge on the need to spur inclusive and broad-based growth, utilizing education as a critical tool to achieve this aim.

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

Since 2006, USAID/Philippines assistance to education has been focused on improving basic education in conflict-affected and poverty-stricken areas of the country. 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. USAID also supports projects that improve data capacity for basic education through, improving adult literacy project, and training for agriculture for out-of-school youth. It also has a partnership with Peace Corps Philippines to improve instruction quality. Other Mission projects, such as the Growth with Equity in Mindanao, have workforce development components and education components.

USAID/Philippines recently approved a one-year grant to implement the Higher Education and Productivity project, which will create industry profiles and manpower plans in the Cities Development Initiative (CDI) sites and begin the process of establishing industry-academe partnerships in those sites. This project will be implemented by the Philippine Business for Education (PBEd), a local non-profit organization.

The objectives of the HEP Project are:

- 1) Improve availability of information on industry needs and higher education capabilities in the CDI sites. This includes creation of profiles of key and emerging industries; providing estimates of skills requirements for these industries; analyzing local higher education institutions graduate pipelines; and identifying critical factors contributing to the skills gap.
- 2) Establish industry-academe links. This includes development of an Industry-Academe Linkage Plan for select programs and industries; drafting of a human resource “production and deployment

<sup>3</sup> ([http://transition.usaid.gov/our\\_work/education\\_and\\_universities/documents/USAID\\_ED\\_Strategy\\_feb2011.pdf](http://transition.usaid.gov/our_work/education_and_universities/documents/USAID_ED_Strategy_feb2011.pdf))

<sup>4</sup> (<http://forward.usaid.gov/about/overview>)

plan”; drafting a joint research plan for industry and academe; signing of memoranda of intent between universities and industries.

- 3) Increase advocacy for industry-academe partnerships. This includes working with various government agencies at the national level as well as private sector groups at both national and local level to create dialogue mechanisms on trends and issues; advocating establishment of industry coordination mechanisms in higher education institutions; and provide best practices and lessons learned on existing partnerships in the country.

Given the critical importance of university-business collaboration, the STRIDE program will closely coordinate with PBed and incorporate the knowledge, priorities, and private sector inputs that emerge from this project. The program provides businesses an opportunity to identify key needs that higher education institutions can address via improved instruction, research and extension services. PBed will also enable businesses explore how they might help higher education institutions develop and deliver curriculum, teaching, research and extension services that effectively address the needs of business and broad-based economic growth.

USAID/Philippines is also planning an activity which will complement STRIDE. This is the forging of a Global Development Alliance with the Philippine Development Foundation or PhilDev, a non-profit organization working on science and technology-based entrepreneurship and innovation for social and economic development in the Philippines. PhilDev will develop an exchange program that will produce Filipino M.S. and Ph.D. in the sciences and engineering areas, leveraging private sector and Filipino diaspora resources in the process.

## **2. Purpose and Scope**

The overall objective of STRIDE is to strengthen the science, technology, research, and innovation capacity in Philippine higher education with a focus on disciplines that contribute to high-growth economic sectors as a means of stimulating and accelerating broad-based economic growth. This will be achieved through:

- a) Improved research capacity in science, technology and innovation fields that contribute to high-growth sectors such as manufacturing and information technology, through improved research systems, increased research collaboration between U.S. and local universities and professors, and increased incentives for research and publications.
- b) Improved qualifications of faculty and research staff in higher education institutions engaged in the selected disciplines through supporting graduate and post-graduate scholarships utilizing traditional and non-traditional, cost-effective approaches such as twinning or “sandwich” programs, enrichment programs, and faculty exchange programs between U.S. and local universities.
- c) Strengthened partnerships between academe and industry in the identified sectors to support increased collaboration for applied research, increased technological adaptation or upgrading in firms, and improving the quality of graduates of STI-related disciplines.
- d) Strengthened policy and management capacity of higher education institutions towards improving the STI ecosystem, through capacity building and executive development in areas such as administration and finance, patent protection, research commercialization, and others.

Maximum estimated funding for this program is \$32,000,000 to be incrementally funded over five years, subject to availability of funds.

### **3. Background and Context**

Countries have long invested in science, technology and innovation (STI) as a key strategy for long-term economic growth. According to the 2010 UNESCO Science Report, “those developing countries that have progressed fastest in recent years are the ones that have adopted policies to promote science, technology and innovation” and that “many governments are putting innovation at the center of their growth strategies” to serve as a key driver of development (Benavente, Dutta and Wunsch-Vincent: 2011, Griffiths, n.d.).

The prime example is the United States, whose economy has been driven by science, technology and innovation for the past five decades, with critical discoveries such as transistors, semi-conductors, software, and biotechnology. University research also produced the likes of Intel, Microsoft, Genentech, and Hewlett-Packard (Griffiths, n.d.).

The Asian “tigers” of South Korea, Taiwan and Singapore have followed the same path, and China is following hard on the heels of these Asian economies. The World Bank (2011) asserts that given these experiences, higher education in low- and middle-income East Asian countries has the potential to lift productivity and competitiveness by providing the high-level skills and the research necessary for innovation and growth.

Education, particularly higher education, creates the necessary conditions for economic growth by increasing the productivity of labor, and by increasing the innovative capacity of the economy, specifically the production, diffusion and transmission of knowledge of new technologies, products, and processes that promote growth (Hanushek and Woessmann, 2008). Higher education produces the knowledge workers who train the next generation of educators, researchers/technicians, and practitioners (Griffiths, nd).

Conversely, the lack of education may be an explanation why countries fail to adopt the “best-practice technology”. Countries without the adequate education levels will be “doomed to produce inefficiently, in the interior of the production possibility set rather than on its frontier” (Stevens and Weale, 2003). Countries with low levels of education will be limited to piracy activities (copying) while those with high levels of education will be at the technological frontier of production, and reaping the economic benefits of innovation.

#### **A. The State of STI in the Philippines**

According to the PDP, one of the main challenges confronting higher education in the Philippines is “the need to upgrade the quality of higher education programs, including science and technology courses, and make them internationally comparable”. Addressing this obstacle will lead to “a higher level of productivity, international competitiveness, industry relevance and social responsiveness in the development of both middle-level skills and the high-level professions” (NEDA, 2011).

Unfortunately, there has been significant underinvestment in the education sector as well as in science, technology and innovation (STI), which accounts for the poor rankings in the country’s science and technology performance. The Gross Expenditure on Research and Development as a percent of Gross Domestic Product (GERD) for the Philippines is the second lowest among its ASEAN neighbors. The latest estimate places the GERD at 0.12 for the country, outpacing only Indonesia. The U.S. invests around 2.7. (UNESCO, 2010)

A 2011 study by the World Bank on the state of higher education in Southeast Asia paints a grim picture: "...Higher education is failing to deliver skills for growth and research for innovation due to widespread disconnects between higher education institutions and other skills and research users and providers. These disconnects undermine the very functioning of the higher education system."

The inability of the Philippine economy to take off is in some part due to the poor state of STI in the country, which has prevented it from taking advantage of the benefits of innovation, especially in manufacturing.

The Asian Development Bank (2007) conducted an analysis of constraints to Philippine development and identified four binding constraints. One of these is the inability of the economy to address market failures, leading to a small industrial base. "Market failures" are specified further as information and learning externalities and coordination failures, the broad symptoms of which are:

- slow diversification in manufacturing
- low innovation and low value-added of manufactured exports
- low technology in the manufacturing sector
- very low spending on research and development (R&D)
- weak linkages between the university system and R&D of industries; and
- low incentives to pursue higher education in science and technology.

These symptoms are crucially all STI indicators. This finding is echoed by the 2010 Philippine Skills Report by the World Bank which posits that the "lack of dynamism" of the Philippines' manufacturing sector is "likely to have been in part induced by lack of quality workforce in the first place". The report identifies critical sectors where innovation and competitiveness are vital, such as manufacturing sub-sectors with higher value-added such as electronics, chemicals, machinery and high-tech agro-industry.

The Science Technology and Innovation system is crucial to long-term, sustained, broad-based economic growth. The Philippine government has laid out its priorities, and has slowly increased its investments in education, and in STI. While underinvestment may be a critical issue, improvements in the STI ecosystem can already benefit from investments that target key areas in the near-term. STRIDE will focus on three:

- 1) Low numbers and poor qualifications of faculty
- 2) Poor research capacity
- 3) Weak linkage between universities and industry

### **Lack of Faculty and Poor Qualifications**

Across the different performance measures that indicate the quality of STI, the country has fared very poorly and is barely keeping pace with regional science and technology developments. The talent pool from which STI draws has been plagued by so many deficiencies as documented in study after study (USAIDb, 2011). Arguably, it may start in basic education where an appreciation for science, technology, engineering and math is not fully developed. But a more proximate cause of poor faculty qualifications is the poor enrollment situation of STI courses in undergraduate degrees: Natural Sciences is at 0.89 percent, Mathematics and Computer Science at 0.45 percent, and Agriculture, Forestry and Fisheries at only 2.0 percent of total enrollment. This explains why the researchers-per-million count for the Philippines is so low.

This is exacerbated by the outmigration of STI graduates and faculty. In 2007, the Personnel Management Association of the Philippines conducted a study and found that high-valued industries were facing very high staff turnover rates, with as many as 33 to 59 percent of employees departing in pursuit of new careers abroad. These sectors include pharmaceuticals, semiconductors, electronics and information technology. (Llorito, 2007)

The situation of faculty qualifications in higher education is equally a cause for concern. In 2010, only 9.6 percent of faculty in higher education had doctoral degrees, and only 35 percent had Master's degrees, or its equivalent. More than half of the faculty members in higher education have only Bachelor's degrees (USAIDA, 2011; NEDA, 2011). While there are no exact figures, graduate programs are said to be concentrated on business administration, education, and public administration (Orbeta, 2002).

In 2009, the Philippines through the Department of Science and Technology (DOST) established the National Science Consortium to improve research capabilities, promote information sharing, and develop more PhD's and Master's degree graduates in the universities with established post-graduate programs in basic and applied sciences. There are seven member-universities namely: University of the Philippines System, Ateneo de Manila University, De la Salle University, University of Santo Tomas, Central Luzon State University, Visayas State University, and Mindanao State University-Iligan Institute of Technology. (Saloma, 2011)

Of the faculty members who are members of the Consortium, more than half (55 percent) are 51 years old or older. In the University of the Philippines – Los Baños Graduate School for example, almost 70 percent of faculty members with PhD's are at least 51 years of age. This means that the Philippines' "current and already limited national capability to train the next generation of scientists and researchers will be critically diminished toward the end of 2025". (Lacanilao, 2011) In short, the pipeline for scientists is drying up, and their replacements are not being trained in sufficient numbers. This has dire implications for the future of STI in the country.

There is a need to replenish the ranks and provide support for faculty development, especially in upgrading the skills of the leading and promising researchers through immersion, collaborative research, or faculty exchange programs in leading universities in the U.S. Scholarships can also be provided to faculty members or recent graduates who show great potential, to acquire their masters degrees using traditional or innovative approaches, such as distance learning or twinning programs. Thesis and dissertation support can be provided for researchers in disciplines that contribute to the relevant economic sectors.

### **Poor Research Capacity**

Poor qualifications of faculty will have a detrimental effect on the quality of research. The UNESCO Science Report of 2010 reveals significant gaps and weaknesses in the country's STI performance measures particularly in its research output. Using traditional methods for measuring innovation, the Philippine performance vis-à-vis its ASEAN neighbors are as follows:

*Selected Indicators, 2010 UNESCO Science Report*

Country	SCIE Articles <sup>a</sup> (1998-2008)	Gross Expenditure on R&D (GERD) as a % of GDP	Researchers per million population (full-time equivalent)	Technicians per million population
Thailand	21,001	.25	311	160
Malaysia	13,576	.64	372	44

Country	SCIE Articles <sup>a</sup> (1998-2008)	Gross Expenditure on R&D (GERD) as a % of GDP	Researchers per million population (full-time equivalent)	Technicians per million population
Indonesia	4,750	.05	162	-
Vietnam	4,569	.19	115	-
Philippines	4,079	.12	81	10

<sup>a</sup>*Thomson Reuters' Science Citation Index Expanded or SCIE is the most commonly used indicator for scientific output; originally produced by the Institute for Scientific Information or ISI.*

Within the 10 year period being tracked by the Report, the Philippines produced the least number of articles cited in the Science Citation Index Expanded of Thomson Reuters (formerly ISI) – the most commonly-used indicator for scientific output. The Philippines produced only 4,079 SCIE-cited articles for the period -- less than a third of Malaysia's output, and less than a quarter of Thailand's. Of this number, 71 percent of the Philippine articles are co-authored with other nationalities, indicating a high dependency on co-authorship. A 40-50 percent co-authorship rate is desired, to indicate a balance of research for local development needs, and international orientation. (UNESCO, 2010)

In terms of researchers per million, the Philippines was ranked last – 81 per million, as compared to Vietnam's 115, Indonesia's 162, Thailand's 311 and Malaysia's 372. A slight majority of researchers were women at 50.7 percent of the total estimate.

Even the research output of the PhD faculty members from top universities is found wanting. For example, there were 178 valid publications from the 764 PhD faculty members who were part of a science consortium of top universities in the country. This means a research productivity of only 0.23 publications per PhD, as compared to the world-class standard of one publication per PhD per year (Singapore has 2.5 per PhD per year). Research funds went to either unpublished research, or "gray literature" -- improperly published papers without adequate peer review, and not subjected to international peer verification of results. (Lacaniño, 2011)

Another international benchmark is the Global Innovation Index (GII). The GII measures elements that comprise what are considered key components of innovation. The GII looks at institutions, human capital and research, infrastructure, market sophistication, business sophistication, knowledge and technology outputs, and creative inputs. It then compares performances of countries, and ranks them accordingly. For 2012, the Philippines ranked 95 out of 141 countries. Some of the key indicators related to STI are shown below, with the four ASEAN countries once more being used as comparators:

*Selected Indicators and Rankings, Global Innovation Index 2012*

	2012 rank	2011 rank	Scientific and Technical Articles/bn PPP\$ GDP rank	Human Capital & Research Sub-index rank	Researcher (headcount per million ) rank	Quality of Scientific Research Institutions rank
Malaysia	32	31	67	42	63	23
Thailand	57	48	64	101	70	56
Vietnam	76	51	104	107	73	71
Philippines	95	91	125	121	94	103
Indonesia	100	99	136	92	87	52

Similar to the UNESCO Science Report, as well as other global indices measuring performance of STI (e.g. World Competitiveness Index, IMD Global Competitiveness Report), the Philippines is one of the weakest performers in the region. It scored the lowest in terms of the human capital and research sub-index, due mainly to its low numbers of researchers as a proportion to total population, its GERD (low investments in STI), and the quality of its scientific research institutions. It also fared poorly in terms of the number of scientific and technical articles.

There is a need to provide the necessary environment for scientists in Philippine higher education to be incentivized and conduct research in areas that are critical for economic growth, and publish these in internationally peer-reviewed journals. Another incentive is for researchers themselves to benefit from the intellectual property that their work yields. This means proper protection of findings, especially those with business application potentials, through a strong patent system.

Enrichment or immersion programs for senior faculty and promising researchers may also be done, especially in exposing them to the processes (e.g. mentoring), research systems, and facilities in leading universities. Direct provision of monetary incentives, promotions, tenure, and reduction of teaching loads are incentives that also been proven to work for faculty members to produce the kind of research that will pass the rigors of international peer review.

### **Weak Industry-Academe Linkages**

The 2012 World Bank report “Putting Higher Education to Work: Skills and Research for Growth in East Asia” discusses how several disconnects exist in the higher education systems in the region which lead to the failure of the sector to contribute to economic growth.

One of the major disconnects is between higher education institutions as producers of research, and the private sector who are the end-users of this research. The report states that higher education institutions in the region “contribute very little to technology adaptation and upgrading in firms” and that “firms often engage in research and development alone or with other groups, but they have very limited collaboration with universities and very few formal university-industry links”. (WB, 2012)

The report also surveyed the different sectors, and noted that the Philippines “seems to have lost innovation capacity” as evidenced by the sluggish growth of the manufacturing sector, and that the “lack of dynamism of the country’s manufacturing sector which translates into lower demand for some higher level skills is likely to have been in part induced by lack of quality workforce in the first place.”

The report continues to describe the implications for longer-term competitiveness and innovation for the Philippine economy if these disconnects are not addressed:

*“The significant quality gaps in the machinery and electronics (even accompanied by some emerging quantity gaps) and chemical sub-sectors, as well as in finance and business, are particularly worrisome for the achievement of higher innovation and competitiveness levels of the economy as a whole. And the picture looks even bleaker if, beyond the current demand, the benchmark is the successful longer-term modernization and development of the manufacturing sector. Along the same line, higher difficulties to fill skilled positions, lower perceptions on the quality of education graduates and higher generic and job-specific skill gaps (creativity, practical skills and experience being considered particularly weak) in the export sector - including electronics, agro-industry and business - are also particularly bad signs for the development of overall competitiveness.”*

Industry, aside from being a consumer of research, can also be a potential funding source, as well as a trainer of STI graduates. They can provide additional incentives for faculty and students to increase the numbers of those involved in STI, and they can also update the curriculum of universities, ensuring relevance of skills and training on the part of the students in higher education. They can also provide that all-important bridge that will translate research into a product that is commercially viable.

Universities and industries should be in constant dialogue, they should coordinate in both production of research and skills, and they should have institutionalized mechanisms to collaborate. While there may be informal relationships (through consultancies, intermittent training, or one-off collaborations), there is a need to create more long-term, sustainable and stronger partnerships. There is also a need to look at other players that operate between academia and the private sector that help translate or diffuse innovations. For example, venture capital groups can provide that all-important seed funding to begin a proof-of-concept activity. The extremely successful experience of U.S. universities in partnering or tapping into the private sector and these other groups will be very instructive.

### **Philippine Government Approach to STI Development**

The Philippine government is well-aware of the problems in STI. The National Science and Technology Plan (2002-2020) from the Department of Science and Technology (DOST) acknowledges the central role that STI has in driving economic growth and social well-being.

The PDP clearly lays down its approach: “the government shall pursue innovation as an essential factor in harnessing culture of competitiveness. Along these lines government shall: (a) review the role of higher education institutions in the country’s innovative system; (b) review investments in science, technology and innovation (STI) human resources to directly link them with strategies in retaining the “best” and “brightest” Filipino STI talents; and (c) promote a culture of multi-disciplinary collaboration, knowledge sharing, open dialogue and cross-fertilization of ideas as extremely relevant and important in the emerging global competitiveness environment.”

In fact, the Philippine Development Plan (2011-2016) has a section on “Advancing through Science, Technology and Innovation (STI)”, excerpted below:

*A “whole-of-government” approach will be pursued to achieve competitiveness. Thus, the government will strengthen vital factors that highly contribute to the advancement, distinction, satisfaction and demands in the domestic and international markets. The government shall continue to implement the national innovation strategy called Filipinovation. This will enable the country to achieve (a) a competitive and multidisciplinary work force competent in producing value-added knowledge-based services of global standards; (b) competitive local firms driven by or borne out of constant innovations brought about by increased R&D; and (c) a public policy environment that ensures continuous innovation not only through executive, legislative and judicial initiatives but through local government programs. It will promote the usage of Information and Communications Technology (ICT) in enterprises.*

*Filipinovation focuses on: (a) strengthening human capital investments for STI; (b) stimulating STI; (c) enhancing management of the STI system; and (d) upgrading the Filipino mindset in S&T. Since the strategy/policy imperatives are interconnected, it shall be coordinated and harmonized to create necessary conditions to deepen and consolidate STI capacity.*

*STI, a crucial factor for productivity, competitiveness, job creation, sustainable development and poverty alleviation will also pursue R&D initiatives:*

- *Address opportunities for STI professionals;*
- *Address structural gaps in the STI and R&D sectors such as inefficiencies in the structure of incentives and allocation of R&D resources that are obstacles to new programs and activities which could help attain STI and R&D goals;*
- *Facilitate new STI policies needed to boost productivity, economic growth and job creation through increased knowledge-intensive economic activities while maintaining social cohesion;*
- *Foster tie-ups between industry and the higher education institutions to of appropriate technology and advanced skills needed by the industry and for the production of higher value goods and services;*
- *Facilitate and utilize sufficient information on the scientific and technological experiences and know-how of other countries;*
- *Establish e-centers to enhance access to knowledge and technology, particularly in rural and remote areas;*
- *Implement programs and tools to support and respond to climate change and disaster risks incidents especially for fishers and agri/marine farmers; and*
- *Policy backup and enforcement mechanisms for existing laws require bolstering and institutionalizing in close collaboration with neighborhoods.*

The Philippines has various initiatives to improve the state of STI.

One of the more recent programs is the National Science Consortium, which was organized in 2009 by the Department of Science and Technology (DOST). This was part of the Accelerated Science and Technology Human Resource Development Program of the agency, which provided scholarships to produce PhD's and masters' graduates in STI disciplines. It also aims to promote collaboration between and among the member universities especially in basic and applied science and mathematics, including forestry and agriculture, animal science, fisheries and public health. (Saloma, 2011)

The Consortium is in its second year of implementation. It "is the third advanced manpower development program formed by the DOST in partnership with selected Philippine universities in the last thirty years". A consortium was formed in the 1980's among Manila-based universities to produce PhD's, followed by the Engineering and Science Education Program (ESEP) in the 1990s that included the acquisition of research equipment and facilities. Both programs produced a number of PhD graduates who are now holding key academic, research and administrative positions in local universities and research centers". (Saloma, 2011)

Another program is the Engineering Research and Development for Technology (ERDT), a consortium of eight-member Philippine universities that provided master and doctoral degrees in various engineering fields. The program was initially funded by the Philippine government with around US\$70 million in 2007 and included graduate and post-graduate scholarships, faculty development, infrastructure, and research and development in four areas: ICT, Semiconductor and Electronics, Energy, Environment and Infrastructure. (<http://www.bgn.org/blogs/post/3027>)

A new initiative is the establishment of the Philippine-California Advanced Research Institutes (PCARI), a focused partnership being proposed between selected California-based and

Philippine universities to establish two joint research institutes, with the support of the Philippine government.

“The vision of PCARI is to unite scientific inquiry with practical use in two areas of advanced technology of significant potential benefit to the Philippines – information and communication technology and translational medicine and healthcare. Both Institutes will be open-walled, benefiting from rapid national progress in electronics, telecommunication and biotechnology, collaborating with established Philippines business innovators... thus stimulating an “ecosystem” of Research / Development / Deployment.” PCARI has two institutes -- the Institute for Information Infrastructure Development, which will focus on “advancing information technology, energy, e-government and e-education in the Philippines through strategic research and education; and the second is the Institute for Health Innovation and Translational Medicine which will work in the area of strategic technology, delivery and training. (<http://pcari.org/>)

The Philippine Intellectual Property Office (IPOPHIL) has an initiative to establish a network of Innovation and Technology Support Offices (ITSO) or patent libraries to “strengthen the institutional capacity of universities and research-related institutions to access patent information and make use of the patent system. Among the functions of the ITSO’s are: to serve as a patent search facility; provide skills training in patent searching; render patent search services; and organize a community of patent information users. ITSO’s also provide skills training in patent drafting and prosecution; draft patents; and organize a community of experts to participate in patent examination. So far, 62 institutions now host ITSOs nationwide. ([www.ipohpil.gov.ph](http://www.ipohpil.gov.ph) and [www.itso.ph](http://www.itso.ph))

The Commission on Higher Education (CHED) has a Higher Education Reform Agenda, which covers the whole range of regulatory reforms and improvements in the management of the higher education system. Of the many goals CHED wants to achieve with the reform plan, there are relevant areas which impact the way higher education institutions contribute to strengthening the STI ecosystem.

For example, CHED has “Operation Brain Gain” as an activity that will contribute to improved quality in higher education. This particular program, in partnership with the Department of Science and Technology, aims to attract and retain talent in priority disciplines, and promote technology transfer for selected programs.

Another reform goal involves improving access to and promoting priority disciplines for the growth sectors, which calls for the provision of advanced degree scholarships and professional training for selected institutions engaged in fields such as petroleum engineering, mining, environment, and other related undersubscribed areas.

CHED also has plans to improve internal governance through strengthening accountability, leadership and management competencies of higher education institution executives. This reform goal has direct impact on STRIDE objectives, as it aims to provide career executive services for academic leaders, which covers Science and Technology centers or universities.

Clearly, the Philippine government recognizes the need to develop the quality and relevance of its human capital to take advantage of what science, technology and innovation can do for economic growth. It also has identified the critical sectors in which STI in particular can be transformative, or provide the necessary push to take the economy to the next level. More importantly, it is now re-investing in a significant way into the development of STI through initiatives like PCARI.

STRIDE will support the broad goals of improving the STI ecosystem to make the economy more innovative and competitive, and take advantage of this convergence of priorities and thrusts of both USAID and the Philippine government.

#### 4. Program of Work

The Recipient is expected to implement cost-effective and scalable solutions to the issues presented above. The Recipient will have to take into account the priorities delineated by both U.S. and Philippine governments within the context of the Partnership for Growth and the Cities Development Initiative. STRIDE will be cognizant of maximizing partnerships, being selective, and being consultative:

**Partnership:** A key principle in STRIDE will be for the Recipient to seek partnerships and create opportunities to leverage resources from other sectors. This will be particularly relevant for the following:

- a) U.S. Universities: The Program will work with leading U.S. universities in STI disciplines with demonstrated capacity in addressing the issues stated above, especially in providing capacity-building to universities in developing countries like the Philippines. They must also offer the best value and/or maximum leverage in terms of providing their own technical expertise in working with local universities whether in exchange programs, graduate and post-graduate scholarships, technical assistance, collaborative research activities, and industry-academe partnerships. Given the importance of the latter, a U.S. university seeking to participate in STRIDE must have significant experience and proven success in working with the private sector to develop teaching, training, extension and/or applied research programs that are of significant value and interest to the private sector. The U.S. university must have demonstrated ability to engage businesses in substantive and extensive collaboration based on the interests and needs of those businesses, including the institutionalization of such collaboration that includes not only the research component but also the commercialization aspect. Evidence of such success and ability must include documentation of these successes.
- b) The Private Sector: One of the major issues to be addressed by STRIDE is lack of coordination between Philippine universities and the private sector. Based on private sector engagement activities conducted under STRIDE, as well as information arising out of the PBed project, STRIDE needs to identify and involve firms that have a compelling stake or interest in the quality of teaching, training, extension and/or applied research being conducted by higher education institutions in the Philippines. STRIDE will focus on companies in the industries in which STRIDE will work, and will pay particular attention to private sector engagement related to applied research, the uptake and upgrading of production and service technologies, and the development of human capital critical to a firm's productivity and success. Such private sector engagement presents a ripe opportunity for the Applicant to develop public-private partnerships or Global Development Alliances with firms involved in growth sectors such as manufacturing or information technology. STRIDE must develop mechanisms for these firms to communicate their needs and interests to higher education institutions and participate in substantive collaboration that yields results of value to these firms.
- c) Local Universities: STRIDE will be able to maximize its resources if it will establish or support existing research consortiums in the selected disciplines that will contribute to high-growth economic sectors such as information technology or manufacturing. Two have already been mentioned above (i.e. National Science Consortium and ERDT). State universities have their own resources, such as for research grants, faculty development, and community extension programs. Some will have existing partnerships with the U.S. universities and with the private sector.

STRIDE should look at these as opportunities to strengthen, improve, expand and/or institutionalize what currently exists.

- d) Philippine Government: While STRIDE is envisioned to work directly with universities and the private sector, there will be opportunities for the Program to contribute to existing government programs, or to partner with government. For example, three national agencies and their programs to improve STI have been mentioned above.

The PCARI initiative discussed above is an important program in that it represents the scaling up of Philippine government investments in strengthening STI. Upon close guidance from USAID, STRIDE will provide support to PCARI, focusing on the component that will fund U.S. visiting professors to the Philippines. STRIDE will also provide support to the work being done by IPOPHIL in setting up ITSO's in universities, and see how the ITSO's can be replicated, improved, strengthened, or scaled up. The program can also work with other Philippine government programs, such as the National Science Consortiums, insofar as this complements program goals.

- e) Other USAID and USG-funded projects and programs: STRIDE will need to be aware of other USAID and U.S. Government projects and programs that contribute to its objectives. This is particularly true for those that are focused on the Cities Development Initiative, and other Partnership for Growth or education initiatives, such as projects being managed by the Mission's Office of Economic Development and Governance.

USAID/Philippines also participates in the Partnerships for Enhanced Engagement in Research (PEER). The program, managed by the Office of Energy, Environment, and Climate Change of USAID/Philippines, "supports developing country scientists conducting research in collaboration with National Science Foundation (NSF)-funded scientists on topics related to local development issues like agriculture, water, biodiversity conservation, and disaster mitigation."<sup>5</sup>

USAID/Washington also recently launched the Higher Education Solutions Network, or HESN, which is "a constellation of seven Development Labs that harness the intellectual power of great American and international academic institutions and that catalyze the development and application of new science, technology, and engineering approaches and tools to solve some of the world's most challenging development problems. These Labs will help USAID and the development community to discover more innovative, results-driven, efficient, cost effective and accessible solutions to global development challenges in areas such as global health, food security and chronic conflict."<sup>6</sup>

There is also an active Fulbright scholarship program being managed by the Philippine-American Educational Foundation<sup>7</sup> for scholarships and exchanges, as well as an International Visitor Program<sup>8</sup> which features short-term visits to the U.S. by Filipino leaders in various fields, including STI. Both programs are funded by the Public Affairs Section of the U.S. Department of State.

STRIDE will avoid duplication with any the activities mentioned above, and will pursue synergies or collaboration, whenever possible.

<sup>5</sup><http://www.usaid.gov/what-we-do/science-technolog-and-innovation/international-research-science-programs/partnerships>

<sup>6</sup><http://www.usaid.gov/hesn>

<sup>7</sup><http://www.paef.org.ph/>

<sup>8</sup><http://manila.usembassy.gov/www3007.html>

**Selectivity:** In identifying the areas for intervention, STRIDE will abide by the principle of selectivity.

- a) Which U.S. and local universities? As mentioned above, STRIDE will work with leading U.S. universities with demonstrated capacity to achieve STRIDE's goals. The Applicant will propose an illustrative list of U.S. universities as part of its management and implementation plan.

For local universities, STRIDE will only be in universities or specific colleges, departments or even programs in those universities that have the greatest potential to contribute in achieving the program goals. This means institutions that already offer STI disciplines, relatively mature degree-granting programs that have active research initiatives, that are part of research consortiums (such as PCARI, the National Science Consortium, or the ERDT), that may even have partnerships with the private sector or U.S. universities. They may also be Centers of Excellence as designated by the Commission on Higher Education. Applicants may also propose a listing.

- b) Which industries? The Applicant shall propose an illustrative list of industries which, based on its analysis, it thinks are the priority areas. While the RFA mentions the manufacturing and information technology sectors, this should be construed only as illustrative. Aside from the National Science and Technology Plan of the Department of Science and Technology and the Philippine Development Plan (2011-2016), other policy or research documents, such as the JOBSFIT Report of the Department of Labor and Employment, the 2010 *Arangkada* Report of the American Chamber of Commerce, and the studies of the ADB and the World Bank point to "key employment generators", "emerging industries", or "big winner sectors". Among these many sectors identified, STRIDE will focus on key economic sectors offering the most potential of being sensitive to improvements in STI. Within these industries, the Applicant may select specific sub-sectors that offer immediate, high-value impact and/or greatest potential in achieving sustainable and rapid growth. The Applicant shall develop its own list of industries and sub-sectors, and justify why it thinks these sectors are the most important or relevant under the technical approach component of the RFA.
- c) Which disciplines? STI as a general area involves many fields that range from math, the life sciences, physics and others. For STRIDE, the focus will be on STI disciplines that contribute directly to high growth economic sectors such as manufacturing and information technology. However, this is not meant to restrict program parameters. The test is whether a particular STI discipline is immediately relevant or important to high-growth economic sectors, and whether support for faculty or research in these selected disciplines can have measurable, visible impact within the time frame of the project. The Recipient has to remember that the overarching goal to which STRIDE contributes is to accelerate economic growth, and shall also propose an illustrative list of what it thinks the program should focus on in the technical approach component of the RFA, and later as part of any work plan.
- d) Which geographic areas? The geographic targeting of STRIDE will be determined by the university selection, and the location of public-private partnerships that can be created. However, it is important to remember that STRIDE will also contribute to the goals of the Cities Development Initiative and must include higher education institutions from the initial three cities, plus other cities that may be included in the near future.

**Consultative:** STRIDE will operate based on a consultative model, ensuring that the insights of local stakeholders are taken into account especially in validating the selection of disciplines, institutions, private sector partners, and others. Upon award, the program shall ensure that the views of these key stakeholders are surfaced in program planning and implementation, and that local expertise is taken into consideration.

This will ensure that the program remains relevant to local needs and contribute to the sustainability aspect of the program. Stakeholders include but are not limited to the following:

- The Commission on Higher Education and local universities and colleges
- The Department of Science and Technology
- The National Academy of Science and Technology
- The National Research Council of the Philippines
- The National Science Consortium
- Intellectual Property Office of the Philippines
- Philippine-California Advanced Research Institutes
- Corporations, venture capital groups, angel investors, and other private sector organizations with goals and/or programs aligned with STRIDE, and/or firms with existing partnerships with the academe
- American Chamber of Commerce and other industry groups
- Private voluntary organizations with goals similar to the program
- Local government units, especially in CDI sites
- Other education stakeholders, such as accreditation groups
- Other USAID/USG programs and projects
- The international donor community

In order to ensure relevance to program objectives and a coordinated approach to PFG and CDI, the Recipient will work closely with USAID in finalizing the selection of industries, disciplines, partner universities, and geographic targeting. Coordination is essential particularly for PCARI and other activities that may support Philippine government programs.

#### **A. Results Framework: End-state, Indicators and Anticipated Results**

The STRIDE program is part of USAID's whole-of-mission approach to accelerating and sustaining broad-based and inclusive growth to have a more stable, prosperous, well-governed Philippines.

In the medium- to long-term, USAID's strategic investments in higher education in the country will: strengthen research systems, institutions, and human capacity to make the STI ecosystem in the country regionally competitive; create robust international linkages to facilitate transfer of technology and expertise, especially with leading U.S. universities; and, most importantly, build sustained, vibrant collaboration with the private sector. Institutionalizing such collaboration will ensure the relevance and quality of university research, extension services, training, and teaching, enable the joint pursuit of valuable applied research, and create a set of self-sustaining university-business working relationships that foster innovation and growth on an ongoing basis.

Attached in **Annex C** is the Program Results Framework.

A list of required indicators is presented below (FACTS standard indicators). All other indicators, outputs and deliverables suggested in this RFA should be seen as illustrative. Building on these illustrative targets and indicators, the Recipient 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 result should illustrate how the Program will contribute to improved performance for each element and will be contained in a Performance Management Plan (the draft PMP submitted as part of the application will be finalized after award). Measurement of achievements

under this agreement should directly relate to the technical assistance and other support provided under this Program, including the identification of best practices. Indicators will include a combination of standard indicators, and custom indicators which should have widely-shared definitions and allow aggregation of results.

### **Results Framework:**

#### **Program Objective: Strengthened science, technology and innovation capacity of higher education institutions in the Philippines**

##### Illustrative Indicator:

Improved scores in selected human capital and research indicators of the Global Innovation Index (e.g. number of researchers per million)

#### **Intermediate Result 1: Improved qualifications of faculty and staff in higher education institutions engaged in relevant STI disciplines**

##### Illustrative Indicators:

1. Number of post-graduate/Ph.D. degrees in relevant STI disciplines supported
2. Number of graduate degrees/M.S. in relevant STI disciplines supported
3. Number of post-graduate enrichment programs supported through exchange programs with U.S. universities
4. Number of thesis and dissertation grants in selected STI disciplines supported

#### **Intermediate Result 2: Improved research capacity in critical science, technology and innovation (STI) disciplines**

##### Illustrative Indicators:

1. Number of research systems in supported Philippine universities improved
2. Number of SCIE-listed articles published with Filipino sole authorship and co-authorship due to program support
3. Number of collaborative research initiated between U.S. and local universities
4. Number of U.S. faculty participating in exchange programs to support PCARI
5. Number of research grants in selected STI disciplines granted

#### **Intermediate Result 3: Strengthened linkages between academe and industry in high growth sectors**

##### Illustrative Indicators:

1. Value of leverage from private firms to support program goals
2. Number of joint projects between academe and industry for applied research established
3. Number of firms benefiting from technological adaptation or upgrading through university partnerships
4. Number of curricula successfully developed and updated with the participation of the private sector with program support.

**Intermediate Result 4: Strengthened policy and management capacity of higher education institutions in improving the STI ecosystem.**

Illustrative Indicators:

1. Improved capacity in policy, administration and finance in selected higher education institutions
2. Improved institutional capacity for patent development and protection through ITSO establishment or strengthening
3. Number of academic leaders in STI institutions participating in executive development programs

**Standard Indicators for Higher Education:**

The following are standard indicators as enumerated in the Foreign Assistance and Coordination Tracking System (FACTS) for Higher Education, and are required indicators for tracking:

1. Number of higher education partnerships between US and host country higher education institutions that address regional, national, and/or local development needs.
2. Number of USG-funded scholarship and exchange programs conducted through higher education institutions.
3. Number of host-country individuals completing USG-funded exchange programs conducted through higher education institutions.
4. Number of USG-supported organizational improvements that strengthen the institutional capacity of host-country higher education institutions.
5. Number of host-country institutions with increased management or institutional capacity as a result of USG investments involving higher education institutions.
6. Number of public-private dialogue mechanisms utilized as a result of USG assistance.

**B. Other Considerations**

The Recipient will take the following considerations in the design and implementation of the Program:

**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 Program cycle -- from 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 Program 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 Program 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 program 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 M&E Plan. All people-level indicators must be disaggregated by sex, and included in program reports.

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

- a) Conduct of training for the program staff, partners and cooperators on gender awareness, gender analysis and gender-responsive planning.
- b) 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,
- c) 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 program plans and activities.
- d) Design of gender-responsive activities in the pursuit of program objectives.

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) Environmental Compliance**

The implementing partner should adhere to and comply with the conditions stated in the initial environmental examination prepared by USAID for the program, the terms of which shall be included in the award.

## **3) Sustainability**

USAID/Philippines is committed to ensuring that the activities under this program 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 program design process, sustainability is achieved when host country partners and beneficiaries are empowered to take ownership of development processes, including financing, and maintain program results and impacts beyond the life of the USAID program. 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 increasing the use of host country systems and government to government implementation arrangements, program sustainability can often be closely related to the host partner government managing the activities and participating in funding, leading to continuation of achievement of program results and systems after the program is concluded. 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 program 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 program 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.

#### **4) 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 Activity 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.

#### **5) Standard Property Rights Clauses**

It is necessary that USAID archive activity-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 activity 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, if relevant.

### **C. 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 (for example 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>)

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**[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 shall not exceed \$32 million with a period of performance of five (5) years, and an anticipated start date of May 2013.

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 program 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 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 Performance Monitoring Plan;
- F. Approval of sub-award recipients, and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and,
- G. USAID/Philippines is considering various mechanisms for the management of the scholarship component of STRIDE. All scholarship decisions made under this Cooperative Agreement must be approved in writing by the Agreement Officer Representative

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 Requirements**

All U.S. and local nongovernmental organizations (NGOs), universities, private voluntary organizations, and other qualified organizations or a consortium of such organizations are eligible to submit their application(s) against the RFA.

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). 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 U.S. and local nongovernmental recipients and applicable OMB cost principles.

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

### **3. 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-424A (**Annex A-2**), Budget Information – Non-construction Programs; and SF-424B (**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 the technical application while one original and one copy for the cost/business application 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.

##### 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) hardcopies of their technical application while one (1) original and one (1) copy of the cost/business application. 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:

Andrew Holland, CPCM  
Supervisory Agreement Officer  
United States Agency for International Development  
Attention: Franco Calixto, Acquisition Specialist  
8/F, PNB Financial Center  
Pres. Diosdado Macapagal Boulevard  
1308 Pasay City, Philippines  
Ref: RFA-492-13-000003  
Technical/Cost Application

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:  
[manilastride@usaid.gov](mailto:manilastride@usaid.gov) and [orpmailbox@usaid.gov](mailto:orpmailbox@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-492-13-000003: 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 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. Any late or incomplete applications will only be considered at the discretion of the Agreement Officer. **Acceptance is upon receipt of the hard copy NOT the electronic copy.**

## 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 forty (40) pages using 11 point Calibri font, single-spaced using 8 ½" x 11" paper with 1-inch margins on all sides.** 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 H 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, 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 one (1) page**]
- E. Technical Approach: body of the application analyzing the problem(s) or issues, the proposed strategic and technical approach to address the problems and issues, analysis and recommendations on key industries and disciplines, proposed outcomes and indicators, risk factors and mitigation measures [**included in page limit but not to exceed twenty six (26) pages**]
- F. Management and Implementation Plan and Key Personnel: description of the program's project planning, mobilization, implementation, coordination across all different activities, management of the scholarship program both local and U.S., management of the research and publication grants component, management of the industry-academe partnerships, monitoring and evaluation mechanisms, and an outreach and communications approach. Include a brief description of who are being proposed for key personnel positions and why they are deemed the most suitable candidates. Include illustrative list of U.S. universities here. [**included in page limit but not to exceed ten (10) pages**]

- G. Past Performance: the organization's qualifications and past experience with similar programs or projects [**included in page limit but not to exceed three (3) pages**]
- H. 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 program
    - Draft life-of-project work plan, with gender action plan and Gantt chart for schedule of implementation
    - Draft Performance Monitoring Plan, including a Monitoring and Evaluation Plan (M&E Plan)
    - Organizational chart
    - Communications and Outreach Strategy
    - Sustainability Plan
    - Branding Strategy and Marking Plan
    - Curriculum Vitae of key personnel (page limit: three 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

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 achieve the intermediate results and the overall objective of the program. It should take into account the technical evaluation criteria specified in Section V.

Applicants must demonstrate a clear understanding of the issues on hand and the specific context in which the program will be implemented. Applicants will then describe their approach to achieving the program's overall goal, its objective and intermediate results, and propose general strategies and specific tactics that will have the greatest chance of success and are cost-effective. Risks and opportunities should be identified, and measures to mitigate the former and capitalize on the latter should also be laid out.

The applicant must have extensive knowledge of past and current programs in strengthening the science, technology and innovation ecosystem in the Philippines, including the policy environment and the various major initiatives – at the national and even at the university level -- which the program may be able to learn from, or build on. The approach must also be flexible enough to take into account new variables. When appropriate, international best-practice may also be included in the discussion but only insofar as they are deemed appropriate or relevant to the Philippine setting.

It would be useful for applicants to lay out how they see U.S. university expertise and experience (particularly in industry-academe partnerships) playing out in the Philippine setting, and what approach the applicant will take to adopt or adapt these practices and make them work in the local context.

For the purposes of evaluating applications, applicants are required to include in their technical application illustrative activities to achieve each of the intermediate results. Each application must include:

- Complete activity descriptions, specifying deliverables (e.g. number of scholarships for Master's or PhD's) and identifying the time, level of effort, commodities, and other resources required for each of the performance requirements/activities listed.
- Identification and justification of proposed STI disciplines, local universities, and industries
- Risks and opportunities anticipated, and strategies to mitigate the former and capitalize on the latter

It would be useful for the application to identify percentages of resources it intends to provide for each intermediate result, outside program management cost. USAID envisions STRIDE to devote a significant percentage of resources to the scholarships, the faculty exchange (including PCARI support), and the research grants. However, the industry-academe intermediate result is also a critical piece, one that may not absorb as much resources but nevertheless is as important as the upgrading of faculty.

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

### 1) 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; and home office support, if necessary
- Discuss the organizational structure and its rationale;
- Discuss the matching of long-term and short-term personnel proposed with the skills needed to implement the program; 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).

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 program manager, will be vital in determining the prospects for success of the STRIDE Program.

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 of the Technical Application);
- A statement signed by each person proposed as key personnel confirming his/her present intention to serve in the stated position and his/her present availability to serve for the term of the proposed agreement, including rapid mobilization (this information can be provided under an Annex of the Technical Application); and
- Three references for each key personnel, including telephone and email addresses for each reference (this information can be provided under an Annex of the Technical Application); and
- CV's of all other named personnel (not to exceed 3 pages per CV)

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

The minimum qualifications of key personnel are as follows:

- The Chief of Party should possess the intellectual leadership qualities and management skills necessary to achieve the vision of this program. S/he must have a Ph.D. and at least 7 years of progressively responsible experience and expertise in successfully achieving meaningful and sustainable results in strengthening higher education in developing countries especially in science, technology and innovation (STI) areas, and the establishment of partnerships between universities, both local and international, and between industry and academia. It is critical that the COP has extensive experience working with counterparts, particularly at the senior-levels of government and the private sector. S/he should have a proven record of successful involvement in education programs that address the relevant areas as described in the program description. Superb technical expertise especially in strengthening STI systems, combined with extraordinary communication skills, tact and diplomacy, are essential for this position. One of the critical pieces in STRIDE is the development of partnerships, and the COP is expected to initiate and manage the different types of partnerships that will be developed to ensure the program's success and sustainability.
- The Deputy Chief of Party must have at least 7 years of relevant, progressively responsible experience, with a proven track record of implementing and/or managing projects or programs focusing on the relevant areas as described in the program description. S/he should possess a combination of technical familiarity and management skills that spans the subject areas covered by the programs and in-depth experience in at least one of the major areas of involvement. The candidate should be able to demonstrate that s/he has the requisite experience to: a) effectively backstop and reinforce the other long and short-term specialists; b) ensure that synergies among program elements are capitalized upon; c) ensure that the program focus remains on achieving results; and d) manage an effective monitoring and reporting as well outreach and communication system. The candidate must possess superior project management skills and is expected to manage the day-to-day operations of the program.
- The Director of Administration and Financial Management shall be responsible for overseeing the administrative and financial management and accountability requirements of the program. S/he shall have a graduate degree in accounting or business administration from an accredited university and at least ten years' experience in financial management and/or project administration, preferably with USAID programs similar in scope or size.

Applicants may nominate up to five key personnel. Any additional key personnel from the above-mentioned must be accompanied with respective proposed minimum qualifications.

The applicant is urged to identify additional personnel who are deemed essential for the success of the Program.

## 2) Management and Implementation Plan

Applicants are required to submit a management and implementation plan which discusses the overall management approach toward planning, implementation, monitoring and evaluation, and outreach. Applicants must present a plan to rapidly mobilize personnel and resources in order to show demonstrable results quickly. The Management and Implementation Plan must:

- Provide details of mobilization, planning, implementation, sub-grant processes, and coordination mechanisms;
- Delineate implementation timelines, with a premium on rapid start-up;
- Describe setting up and managing the partnerships between U.S. and Philippine universities, and how the scholarships, exchanges, and research grants processes will be set up and managed both in the U.S. and in the Philippines;
- Describe how the work with the private sector will be managed;
- Describe a communications strategy that will ensure the program will be a significant player within the STI ecosystem in the country;
- Describe how USAID/Philippines will be kept apprised of rapid developments, and how coordination with other PFG projects will be done to ensure maximum synergy;
- Describe how CDI will be approached, if there is any difference from the overall approach ;
- Explain how and to what extent host government institutions and programs shall be brought in, and how management of this relationship shall be done;
- Describe the draft Performance Monitoring Plan, which will include the Monitoring and Evaluation Plan, the key indicators, key evaluation questions, and how baselines will be collected;
- Describe the communications and outreach approach of the program;
- Describe how gender considerations will be included.

The management and implementation plan must include a rapid start-up plan, the implementation plan, a draft life of project work plan for achieving the results and the timelines involved, a communications and outreach strategy and a draft Performance Management Plan containing the Monitoring and Evaluation plan strategy which clearly outlines links between the proposed activities/inputs, outputs to be generated, and results expected as identified through the performance indicators to be proposed, and a communications and outreach approach.

The life of project work plan must include a complete activity description (including illustrative activities for each of the major tasks to achieve the intermediate results), specify deliverables, and identify time, level of effort, commodities, and other resources required for each of the performance requirements.

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 proposes 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.**

### C. Past Performance

Applicants must provide a list of all its contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers. USAID may contact references other than those provided in the application. Past performance information of team members -- consortia, joint venture members, and proposed sub-award organizations, as applicable must also be submitted.

Applicants must also describe the relevance of the listed previous experience to the program areas covered by STRIDE, with special attention to experience establishing strong partnerships between U.S. and local universities, and between local universities and industry. The Technical Evaluation Committee will give more weight to past performance information that is considered more relevant and/or more current.

### D. Required Annex Descriptions

#### 1) Rapid Mobilization Plan

The Applicant must submit a Rapid Mobilization Plan covering the first 90 calendar days of the program. 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 program will be operational within 45 days of the award.

#### 2) 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.

3) Draft Performance Monitoring Plan (PMP):

Applicants are required to submit a Draft Performance Monitoring Plan with clearly outlined indicative targets, benchmarks, and performance measurement indicators and demonstrate how the proposed indicators are linked to the USAID/Philippines Education Program Indicators. The draft plan should identify appropriate milestones, gender sensitive indicators and targets, as well as plans to gather and utilize existing baseline data. The draft PMP is expected to reflect concern for results and include proper impact and output indicators. Applicants are encouraged to submit their own performance indicators which they think will best capture the intended impact of the program. Indicators should be disaggregated by gender and age, as appropriate and feasible. The indicative schedule for data collection and detailed plans for data analysis, review, and reporting should be described.

4) 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.

5) Communications and Outreach Strategy

Applicants must submit a plan on how it plans to position STRIDE to the public. Being the flagship higher education program of the mission, and one of the largest programs under PFG, STRIDE will be a high-profile program and therefore should have a communications and outreach plan to match it. Applicants should also discuss how they will make USAID/Philippines an integral part of their communication processes.

6) 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 of the Technical Application.

**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

7) Sustainability plan:

Applicants must provide a preliminary sustainability plan of how project strategies and methodologies will be embedded within and/or transitioned to local institutions throughout the program 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.

8) 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 **P40 = \$1**.

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

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 also 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						
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 – the applicant shall provide as share to the project budget not lower than 5% of cost application amount.

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:

- Has 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, Assuranced-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 Officer 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 [manilastride@usaid.gov](mailto:manilastride@usaid.gov) and [orpmailbox@usaid.gov](mailto:orpmailbox@usaid.gov) by no later than **February 15, 2013, 4:00 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). USAID will award to the Applicant(s) whose application(s) best meet(s) the program description.

Technical, cost and other factors will be evaluated relative to each other. Applicants are forewarned that an application with the lowest estimated cost may not be selected if an 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.

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.

The technical application will be scored by a Technical Evaluation Committee (TEC) using criteria that include: a) Technical Approach; b) Personnel and Management Plan; and c) Past Performance.

The relative importance of each criterion is indicated by approximate weight by points. A total of 100 points is possible for the complete application. 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.

A summary of technical evaluation criteria follows:

Evaluation Criteria	
1. Technical Approach	30 points
2. Personnel and Management Plan	60 points
a. Personnel (30 points, of which 15 for COP)	
b. Management Plan (30 points)	
3. Institutional Experience and Past Performance	10 points
TOTAL	100 points

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
- Personnel and Management Plan
- Institutional Experience and Past Performance

Descriptions for each Criterion are as follows:

#### **A. Technical Approach (Criterion #1): 30 points**

USAID is interested in more than a restatement of the priority areas already discussed in this solicitation. The approach must add value to the solicitation's discussion and demonstrate clearly that the applicant understands, and is prepared to deal with, the prevalent challenges, constraints, and risks in each proposed activity.

The application will be evaluated on how the applicant presents a firm understanding of: (i) the prevailing challenges and opportunities for improving STI in the Philippines; (ii) maximizing U.S. university partnerships and introducing international best practice in achieving program goals; (iii) leveraging private sector resources and capacity to achieve program goals; (iv) working with host government institutions, local universities, industry, and other local stakeholders to increase sustainability and leverage; (v) and promoting gender equality.

Evaluation will also assess the degree to which the proposed approach: (i) contains strategic, innovative, creative thinking; (ii) is technically and managerially sound; (iii) is likely to produce sustainable results; (iv) meets the objectives of the program as described in this solicitation; and (v) addresses gender equality.

Evaluation will similarly assess whether the annual work plan accurately illustrates activity choice and selection for the different phases of the program, as well as the technical soundness in the identification of key variables of the program, eg. industries, disciplines, partnerships.

**B. Personnel and Management Plan (Criterion #2): 60 points**

- 1) **Personnel** (of which COP, 15 points) – **30 points**
- 2) **Management and Implementation Plan** – **30 points**

**Personnel (30 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 STRIDE program.

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.

The technical evaluation will gauge the extent to which long- and short-term candidates are matched with the desired qualifications to implement the program.

Applications will also be evaluated on how it conveys:

- 1) Demonstrated ability of the Chief of Party to: (i) lead the project and obtain results; (ii) establish and manage the partnerships essential to program success; and (iii) collaborate with counterparts at various levels of government and the private sector in managing international development assistance projects;
- 2) Demonstrated ability of the Deputy Chief-of-Party to: (i) contribute to obtaining results; (ii) manage day-to-day operations; (iii) serve as a technical resource; and (iv) assume necessary duties in the absence of the Chief of Party.
- 3) Demonstrated qualification of the other long-term specialists including demonstrated experience in industry-academe partnerships, international exchange and scholarship programs, research and development, university executive development, monitoring, evaluation, and reporting, and communications and outreach.

**Management Plan (30 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 particularly for scholarships, exchange programs and research grants;
- Implementation timelines with a premium on rapid start-up;
- U.S. university – local university partnerships
- Industry-academe partnerships in support of program objectives;
- Host government (CHED, DOST, IPOPHIL, local government units) and local university involvement in the project;
- If a different approach is required for CDI sites, describe how this will be managed;
- A communications strategy that will ensure the program will be a significant player within the STI ecosystem in the country;

- Involvement of other key stakeholders, such as industry and professional associations, venture capital groups, non-governmental organizations;
- Draft Performance Management plan, including key performance indicators, link of activities-outputs-outcomes, key evaluation questions, and how baselines will be collected;
- Gender consideration.

### **C. Past Performance (Criterion #3): 10 points**

Applicants are to be evaluated based on the description on the relevance of the firm's previous experience to the program areas covered by STRIDE. Applicant will also be evaluated based on its demonstrated capability with regard to its ability to field qualified staff, its ability to coordinate and manage a broad range of activities being carried out by grantees, consultants, and sub-recipients/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.

Applicants must provide a list of all its contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers. USAID may contact references other than those provided in the application. Past performance information of team members -- consortia, joint venture members, and proposed sub-award organizations, as applicable must also be submitted.

Applicants must also describe the relevance of the listed previous experience to the program areas covered by STRIDE, with special attention to experience establishing strong partnerships between U.S. and local universities, and between local universities and industry. The Technical Evaluation Committee will give more weight to past performance information that is considered more relevant and/or more current.

The quality of the applicant's past performance on previous contracts with USAID and other U.S. government agencies will be assessed based on confirmation with the referenced contact persons provided, and in some degree, other resource persons. The principal factors to be assessed are the following:

- The overall quality of the product or service provided;
- Timeliness of performance;
- Cost control performance;
- End-user satisfaction with performance; and
- Performance of key personnel

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 past performance history, or in which information on past 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 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 a 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.

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**

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

The Recipient shall submit an original to the AOR, 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 grantee shall refrain from using elaborate art work, multicolor printing and expensive paper/binding, unless it is specifically authorized in the Schedule. Wherever possible, pages should be printed on both sides using single spaced type.

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

Under USAID's new Evaluation Policy, the primary responsibility for final evaluations that assess the overall performance and results from a project 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. The implementing partner may be requested by the mission to collect baseline data for this independent evaluation, if necessary.

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 finalize the Performance Monitoring Plan (PMP) Plan within the first three months following cooperative agreement award and before major implementation actions are underway.

The PMP will describe the agreed upon framework of goals, outcomes, and outputs for the project, 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 implementing partner 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).

##### **A. Work Plans**

Life of Project Work Plan: On or about 60 days from the signing of the agreement, the recipient shall open review discussions on the illustrative Life of Project Work Plan (submitted during Application) with the AOR. These discussions will be based on consultations and inputs from USAID, partners and stakeholders. The final life-of-project Work Plan will be submitted for the determination of acceptance to the AOR within 90 days of the signing of the cooperative agreement.

Annual Work Plans: Within 45 days of signing of the cooperative agreement, the recipient shall submit a draft work plan that covers from the date of signing through the end of the fiscal year. The draft will be based on the life-of-project Work Plan but will be revised with comments made during negotiations and with consultations with the AOR after signing of the cooperative agreement, if any.

The scope and format of the annual work plan will be agreed to between the Recipient and the AOR during the first two weeks of award of the Agreement. Subsequent annual work plans shall be submitted no later than four weeks before of the following year of implementation. The AOR will respond to the recipient on the implementation plan within five (5) calendar days from receipt.

The annual work plan will detail the work to be accomplished during the upcoming year and should include the Performance Monitoring Plan (PMP) (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 work 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).

With the written concurrence of the AOR, annual work 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 work plan, and all annual work 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.

## **B. Performance Monitoring Plan (PMP)**

Within 150 days of signing of the cooperative agreement, the recipient shall submit a Performance Monitoring Plan (PMP) with clearly outlined targets, benchmarks, and performance measurement indicators and demonstrate how the proposed indicators are linked to the USAID/Philippines Education Program indicators. The PMP shall finalize the draft PMP (submitted as part of the Application) in conjunction with the agreed upon Work Plan upon inception. The plan shall identify specific indicators for measuring the following aspects of the recipient's performance:

- progress toward meeting project objectives and sub-objectives;
- time frame for achieving these objectives and sub-objectives; and
- Client satisfaction and overall project impact.

Both quantitative and qualitative indicators need to be developed and special attention paid to data sources, collection methods, and data quality assessment.

As part of the initial work under the agreement, the recipient will work closely with the USAID AOR to specify a method for determining target and control units and to develop mutually agreed upon cooperative agreement indicators. The recipient will finalize the PMP within the first 150 days of the cooperative agreement by commissioning surveys and conducting evaluations and assessments that will establish the base-lines for the activities and sub-activities and their expected targets for subsequent years. Project performance monitoring comprises an essential component of this cooperative agreement for the following reasons:

- inform USAID of progress;
- enable detailed and on-going design of activities and sub-activities;
- build counterparts' capacity to collect and analyze the data for sound decision-making; and
- provide public awareness/outreach campaigns to demonstrate that results are being achieved.

The PMP process will involve the collection of baseline and outcome data in an appropriate number of control units. The PMP will discuss the method used to select measurable units, i.e. schools, districts, including both the treatment and control groups according to criteria that make a rigorous comparison possible; it will include a plan for gathering baseline data in both groups as well as for gathering outcome data periodically and in the final year of project implementation.

The recipient in its monitoring and reporting on STRIDE will disaggregate by gender and geographical location the impact on the beneficiaries and provide analysis of gender data. For all the activities in the implementation of this project, if a single gender is disproportionately involved or benefited, the

recipient must explain the reason and whether or not it is appropriate. If deemed inappropriate and the result of a structural cause, the recipient will inform USAID and suggest remedial interventions to improve the equity of implementation.

At a minimum, the PMP shall include the following:

- Description of the Recipient's established system of Monitoring and Evaluation. The draft PMP 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 PMP. 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 PMP 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.

### C. Closeout Plan

Within one hundred eighty (180) 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.

### D. Semi-Annual Progress Reports

The Applicant should prepare and submit to USAID/Philippines Agreement Officer Representative a semi-annual report within 30 days after the end of the each semester, with the exception of the second semester 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.

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>9</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.

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<sup>9</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.

- (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/>.

## **E. Annual Reports**

The Recipient shall prepare annual reports to summarize project progress relative to expected results and outcomes as outlined in work plans and against cooperative agreement deliverables. Annual reports will have two components: (a) A concise report rolling up the semi-annual progress report with a short summary for public audiences (such as government & local communities); and (b) accounting of progress against metrics for inputs, process, outputs and results per the PMP, and other information in standard formats required for USAID Annual Performance reporting. Part (b) will consist of: (i) a list of deliverables, reports and publications submitted during the year (by date/status), (ii) lessons learned; (iii) suggested steps to improve activity performance and impact; and, (iv) concise narratives or a table to reflect any additional cooperative agreement. The annual report will serve as a basis for project evaluation, audit and management decision-making for budgetary considerations. It is essential that the annual report is complete, accurate and timely. Annual reports are to be submitted to the AOR by October 30 each year. Depending on the award date, the first Annual Report may not cover twelve months of activity.

## **F. Final report**

The Recipient shall submit, within ninety days following the end/expiration of this cooperative agreement, a detailed final report, which includes a financial report detailing how funds were expended, by line item; a summary of the accomplishments and shortcomings of its performance under the cooperative agreement, referenced to the results required under this program description; a status report on all institutions with which Recipient worked to a significant degree; a complete list of all host country and international donor and financial institution contacts; a description of all institutions created and their expected future activities; 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;
- 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: [docsubmit@dec.cdie.org](mailto:docsubmit@dec.cdie.org)  
Fax : (301) 558-7787  
URL : <http://www.dec.org/index.cfm?fuseaction=docsubmit.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.

## G. Outreach Reports

Community outreach is an important component of this project. Community and parental engagement in education is a vital force in removing the barriers to quality education for out-of-school youth. Increasing accountability of National, ARMM Government, and Local Government Units requires information sharing, policy advocacy, and transparency. The media can play a powerful role in increasing public awareness of the government's role in providing quality education activities to increase youth employability in Mindanao. Throughout project implementation, the recipient will provide to USAID:

- 1) Updated monthly list of public events to be organized by the project during the coming two months, including approximate date, location, and audience. The recipient will coordinate with USAID about inclusion of USAID promotional materials for the participants, participation of USAID/USG representatives.
- 2) At least three success stories a year with an accompanying photographs (see item c for specifications).
- 3) A CD with a collection of minimum 60 photographs a year that are illustrative of
- 4) project's achievements in jpeg format. The photographs will comply with a guidance provided in the USAID Graphic Standards Manual, and be at least 500kb in size each. Each photograph will have a brief explanation about its subject, and identify: the author and his/her organization, person(s) featured in the photograph, and the location where the photograph was taken.
- 5) Clippings of press articles that mention the project. e) At least 2 copies of all public communications materials produced by the project. f) Once a year, the project will present to USAID an overview of the implemented publicity events and received media coverage.

## H. Financial Report

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. The Recipient shall submit to the USAID AOR, a quarterly financial report using the SF-425 line item budgets, expenditures and accruals and a budget pipeline (balance remaining). A table with

expenditures and accruals shall be submitted to the AOR no less than 15 days before the end of each (USAID) fiscal year quarter throughout the life of the project.

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/ffrinstructions.pdf>

## I. Foreign Tax Reports

Standard report will be issued for each Fiscal Year and delivered prior to November 17 each year.

## J. Branding Strategy and marking Plan

### 1) 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>)

## 2) 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.

## K. Other Reports

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

## L. Special Reports and Memorandums

The Recipient shall prepare special reports in the event of extraordinary, time-sensitive events that need to be brought to the AOR's attention sooner than semi-annually. Special reports may be requested from the Recipient by the AOR or may be produced by the Recipient exercising his/her own discretion and judgment. The Recipient shall prepare memorandums analyzing draft legislation and regulations and speeches and scene-setter briefing papers for USAID. The Recipient shall also report success stories on an on-going basis as they happen.

## 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/execomp.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 <https://www.sam.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)**

## 7. 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>Budget Line Items</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)	_____	_____	_____	_____	_____	_____
<b>Total Program Amount</b>	_____	_____	_____	_____	_____	_____

\*Roll up of all Program Components

**E. Reporting and Evaluation**

**1) Reporting**

The following is the reporting matrix for the award:

<b>Type of Submission</b>	<b>Due Date</b>	<b>Distribution</b>
Annual Workplan	Initial workplan within 45 days after award. Annually thereafter, 30 days prior to start of subsequent year of implementation	AOR
Financial Status Report a) Quarterly Status Report b) Final Report	Within 30 days after the end of the quarter being reported Within 90 days after end of project	DHHS (if applicable); AOR; Controller DHHS and M/CFO/CM-LOC Unit (if applicable); AO; AOR; Controller
Progress Report a) Annual Report b) Semi-Annual Report c) Final/Completion Report	Within 30 days after the end of the year being reported Within 30 days after the end of the semester being reported Within 90 days after end of project	AOR AOR AOR; AO; DEC/CDIE
Performance Monitoring Plan	Final PMP within 150 days after award	AOR
Close-Out Plan	Within 180 days before end of project	AOR; AO
Branding Strategy	Final Branding Strategy within 45 days after award	AOR; AO
Marking Plan	Final Branding Strategy within 45 days after award	AOR; AO

**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 STRIDE program will be evaluated externally by a third party evaluation contractor to be commissioned by USAID towards the end of the period of performance.

**F. 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

**G. 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.

**H 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.

**I. Cost Share**

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

*(Values above will be dependent on the final budget agreed upon award)*

**J. 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.

## **K. 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) A determination of Categorical Exclusion from the usual environmental impact assessment requirements of 22 CFR 216 was approved on October 16, 2012 by the Bureau Environmental Officer.
- 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.

#### **L. 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 <https://www.sam.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 STRIDE RFA in writing:

By Mail

U.S. Agency for International Development  
Attn: Mr. Franco Calixto  
Acquisition & Assistance Specialist  
8/F, PNB Financial Center  
Pres. Diosdado Macapagal Boulevard  
1308 Pasay City, Philippines

Email ATTN:

Mr. Franco Calixto at [manilastride@usaid.gov](mailto:manilastride@usaid.gov) and [orpmailbox@usaid.gov](mailto:orpmailbox@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.")

- d) A determination of Categorical Exclusion from the usual environmental impact assessment requirements of 22 CFR 216 was approved on October 16, 2012 by the Bureau Environmental Officer.
  - o If during implementation, activities are considered other than those described in the categorical exclusion, 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 Representative (AOR) 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]

**ANNEXES**

Annex A-1	SF-424, Application for Federal Assistance (Form)
Annex A-2	SF-424 A, Budget Information – Non-construction Programs (Form)
Annex A-3	SF-424 B, Assurances – Non-construction Programs (Form)
Annex B	Certifications, Assurances, and Other Statements of the Recipient
Annex C	Results Framework

ANNEXA

SF-424 Standard Forms

Annex A-1: SF-424, Application for Federal Assistance

OMB Number: 4040-0004  
Expiration Date: 03/31/2012

Application for Federal Assistance SF-424		
<b>* 1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>* 2. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	<b>* If Revision, select appropriate letter(s):</b> _____ <b>* Other (Specify):</b> _____
<b>* 3. Date Received:</b> Completed by Grants.gov upon submission.	<b>4. Applicant Identifier:</b> _____	
<b>5a. Federal Entity Identifier:</b> _____	<b>* 5b. Federal Award Identifier:</b> _____	
<b>State Use Only:</b>		
<b>6. Date Received by State:</b> _____	<b>7. State Application Identifier:</b> _____	
<b>8. APPLICANT INFORMATION:</b>		
<b>* a. Legal Name:</b> _____		
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> _____	<b>* c. Organizational DUNS:</b> _____	
<b>d. Address:</b>		
<b>* Street 1:</b> _____	_____	
<b>Street 2:</b> _____	_____	
<b>* City:</b> _____	_____	
<b>County/Parish:</b> _____	_____	
<b>* State:</b> _____	_____	
<b>Province:</b> _____	_____	
<b>* Country:</b> _____	USA: UNITED STATES	
<b>* Zip / Postal Code:</b> _____	_____	
<b>e. Organizational Unit:</b>		
<b>Department Name:</b> _____	<b>Division Name:</b> _____	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
<b>Prefix:</b> _____	<b>* First Name:</b> _____	_____
<b>Middle Name:</b> _____	_____	
<b>* Last Name:</b> _____	_____	
<b>Suffix:</b> _____	_____	
<b>Title:</b> _____	_____	
<b>Organizational Affiliation:</b> _____		
<b>* Telephone Number:</b> _____	<b>Fax Number:</b> _____	_____
<b>* Email:</b> _____		

<b>Application for Federal Assistance SF-424</b>		
<b>9. Type of Applicant 1: Select Applicant Type:</b> <input type="text"/>		
Type of Applicant 2: Select Applicant Type: <input type="text"/>		
Type of Applicant 3: Select Applicant Type: <input type="text"/>		
* Other (specify): <input type="text"/>		
<b>* 10. Name of Federal Agency:</b> <input type="text"/>		
<b>11. Catalog of Federal Domestic Assistance Number:</b> <input type="text"/>		
CFDA Title: <input type="text"/>		
<b>* 12. Funding Opportunity Number:</b> <input type="text"/>		
* Title: <input type="text"/>		
<b>13. Competition Identification Number:</b> <input type="text"/>		
Title: <input type="text"/>		
<b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b> <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>		
<b>* 15. Descriptive Title of Applicant's Project:</b> <input type="text"/>		
Attach supporting documents as specified in agency instructions. <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>		

<b>Application for Federal Assistance SF-424</b>	
<b>16. Congressional Districts Of:</b>	
* a. Applicant <input type="text"/>	* b. Program/Project <input type="text"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>17. Proposed Project:</b>	
* a. Start Date: <input type="text"/>	* b. End Date: <input type="text"/>
<b>18. Estimated Funding (\$):</b>	
* a. Federal	<input type="text"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text"/>
<b>* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?</b>	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> . <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input type="checkbox"/> c. Program is not covered by E.O. 12372.	
<b>* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", provide explanation and attach <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
<input type="checkbox"/> <b>** I AGREE</b> ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
<b>Authorized Representative:</b>	
Prefix: <input type="text"/>	* First Name: <input type="text"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text"/>	
Suffix: <input type="text"/>	
* Title: <input type="text"/>	
* Telephone Number: <input type="text"/>	Fax Number: <input type="text"/>
* Email: <input type="text"/>	
* Signature of Authorized Representative: <input type="text"/>	* Date Signed: <input type="text"/>

Annex A-2: SF-424 A, Budget Information – Non-construction Programs

OMB Number: 4040-0006  
Expiration Date: 05/30/2014

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
<b>I. Total Direct Charges (sum of 6a-6h)</b>					\$
J. Indirect Charges					\$
<b>k. TOTALS (sum of 6i and 6j)</b>	\$	\$	\$	\$	\$
<b>7. Program Income</b>	\$	\$	\$	\$	\$

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

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## Annex A-3: SF-424 B, Assurances – Non-construction Programs

OMB Number: 4040-0007  
Expiration Date: 06/30/2014

### ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

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

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4726-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Offense and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Completed on submission to Grants.gov</p>	<p>* TITLE</p> <p>[Redacted]</p>
<p>* APPLICANT ORGANIZATION</p> <p>[Redacted]</p>	<p>* DATE SUBMITTED</p> <p>Completed on submission to Grants.gov</p>

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## Annex B

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### Certifications, Assurances, and Other Statements of the Recipient

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement."

#### Part I – Certifications and Assurances

##### 1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

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

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

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

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

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

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

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations. 06/23/2011 Partial Revision

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

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

## **2. Certification Regarding Lobbying**

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

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

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

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

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

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

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

## **3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)**

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

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

#### 4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

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

1. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

c. For purposes of this Certification-

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

2. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

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

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

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

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

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

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

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

**5. Certification of Recipient**

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

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

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

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

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

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

Signature \_\_\_\_\_

Date \_\_\_\_\_

**Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking**

I hereby certify that within the last ten years:

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

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

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

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

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

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

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

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**Part III – Participant Certification Narcotics Offenses and Drug Trafficking**

1. I hereby certify that within the last ten years:

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

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

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

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

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

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

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

**NOTICE:**

- 1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
- 2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**Part IV – Survey on Ensuring Equal Opportunity for Applicants**

*Applicability: All RFA's must include the enclosed Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)*

**Survey on Ensuring Equal Opportunity for Applicants**

# Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: \_\_\_\_\_

Applicant's DUNS Number: \_\_\_\_\_

Grant Name: \_\_\_\_\_ CFDA Number: \_\_\_\_\_

1. Does the applicant have 501(c)(3) status?

Yes                       No

2. How many full-time equivalent employees does the applicant have? *(Check only one box).*

3 or Fewer                       15-50  
 4-5                                       51-100  
 6-14                                       over 100

3. What is the size of the applicant's annual budget?

*(Check only one box.)*

Less Than \$150,000  
 \$150,000 - \$299,999  
 \$300,000 - \$499,999  
 \$500,000 - \$999,999  
 \$1,000,000 - \$4,999,999  
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes                                       No

5. Is the applicant a non-religious community-based organization?

Yes                                       No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes                                       No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes                                       No

8. Is the applicant a local affiliate of a national organization?

Yes                                       No

**Part V – Other Statements of Recipient**

**1. Authorized Individuals**

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

Name Title Telephone No. Facsimile No.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**2. Taxpayer Identification Number (TIN)**

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

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

**\*3. Data Universal Numbering System (DUNS) Number**

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

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

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

\*(c) Recipients located outside the United States may e-mail Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com) to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

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

**4. Letter of Credit (LOC) Number**

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

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

**5. Procurement Information**

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

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

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

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

TYPE/DESCRIPTION (Generic) \_\_\_\_\_

QUANTITY \_\_\_\_\_

ESTIMATED UNIT COST \_\_\_\_\_

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION \_\_\_\_\_

QUANTITY \_\_\_\_\_

ESTIMATED GOODS \_\_\_\_\_

PROBABLE GOODS \_\_\_\_\_

PROBABLE (Generic) \_\_\_\_\_

UNIT COST \_\_\_\_\_

COMPONENTS \_\_\_\_\_

SOURCE \_\_\_\_\_

COMPONENTS \_\_\_\_\_

ORIGIN \_\_\_\_\_

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION \_\_\_\_\_

QUANTITY \_\_\_\_\_

ESTIMATED \_\_\_\_\_

PROBABLE \_\_\_\_\_

INTENDED USE (Generic) \_\_\_\_\_

UNIT COST \_\_\_\_\_

SOURCE \_\_\_\_\_

ORIGIN \_\_\_\_\_

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION \_\_\_\_\_

QUANTITY \_\_\_\_\_

ESTIMATED \_\_\_\_\_

PROBABLE SUPPLIER \_\_\_\_\_

NATIONALITY \_\_\_\_\_

RATIONALE (Generic) \_\_\_\_\_

UNIT COST (Non-US Only) \_\_\_\_\_

FOR NON-US \_\_\_\_\_

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic) \_\_\_\_\_

QUANTITY \_\_\_\_\_

ESTIMATED UNIT COST \_\_\_\_\_

PROPOSED DISPOSITION \_\_\_\_\_

**6. Past Performance References**

On a continuation page, please provide past performance information requested in the RFA.

**7. Type of Organization**

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

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

(b) If the recipient is a non-U.S. entity, it operates as  a corporation organized under the laws of \_\_\_\_\_ (country),  an individual,  a partnership,  a nongovernmental nonprofit organization,  a nongovernmental educational institution,  a governmental organization,  an international organization, or  a joint venture.

**8. Estimated Costs of Communications Products**

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

## Annex C

<b>Science, Technology, Research and Innovation for Development (STRIDE) Program Results Framework</b>	
<b>Program Objective:</b> Strengthened science, technology and innovation (STI) capacity of higher education institutions in the Philippines	
<b>Indicator:</b> Improved scores in selected human capital and research indicators of the GII (e.g. number of researchers per million)	
Intermediate Results	Sub-intermediate Results
Intermediate Result 1: <b>Improved qualifications of faculty and staff in higher education institutions engaged in relevant STI disciplines</b>	Sub-Intermediate Result 1.1: <b>Increased number of participants to post-graduate enrichment programs through faculty exchanges between U.S. and Philippine universities</b>
	Sub-Intermediate Result 1.2: <b>Increased number of graduate (Master's) and post-graduate (Ph.D's) degrees in relevant STI disciplines supported</b>
	Sub-Intermediate Result 1.3: <b>Increased number of thesis and dissertation grants in relevant STI disciplines supported</b>
Intermediate Result 2: <b>Improved research capacity in critical STI disciplines</b>	Sub-Intermediate Result 2.1: <b>Increased number of SCIE-listed articles with Filipino sole authorship or co-authorship</b>
	Sub-Intermediate Result 2.2.: <b>Increased number of Philippine universities with improved research systems</b>
	Sub-Intermediate Result 2.3: <b>Increased support for STI research in selected disciplines through competitive grants</b>
	Sub-Intermediate Result 2.4: <b>Increased number of collaborative research in selected disciplines between U.S. and Philippine universities</b>
Intermediate Result 3: <b>Strengthened linkages between academe and industry in high growth economic sectors</b>	Sub-Intermediate Result 3.1: <b>Increased number of functional partnerships between universities and firms in STI disciplines in support of high-growth economic sectors institutionalized</b>
	Sub-Intermediate Result 3.2: <b>Increased collaboration between academe and industry in high-growth sectors for applied research</b>
	Sub-Intermediate Result 3.3: <b>Increased number of firms benefiting from technological adaptation or upgrading through university partnerships</b>
	Sub-Intermediate Result 3.4: <b>Increased dollar value of industry contribution to university research, curriculum development and internships</b>
Intermediate Result 4: <b>Strengthened policy and management capacity of higher education institutions in improving the STI ecosystem</b>	Sub-Intermediate Result 4.1: <b>Improved capacity in policy, administration and finance in selected higher education institutions</b>
	Sub-Intermediate Result 4.2: <b>Improved institutional capacity for patent development and protection</b>
	Sub-Intermediate Result 4.3: <b>Number of academic leaders from STI institutions participating in executive development programs</b>