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4PM Eastern Standard Time

**Subject:** Request for Applications (RFA) Number: RFA-OAA-10-000009  
Energy Efficiency and Renewable Energy Program (EEREP)  
*Leader with Associates (LWA) Cooperative Agreements*

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for Assistance Agreements for its Energy Efficiency and Renewable Energy Program (EEREP). The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

USAID intends to award two Leader with Associate (LWA) Cooperative Agreements for the EEREP Program. Subject to the availability of funds, it is estimated that USAID's contribution to these agreements will total approximately \$2,500,000 for each EEREP Leader with Associate Cooperative Agreement over a five year period from FY2011 to FY2015. The terms "LWA", "LWA Cooperative Agreement," "Cooperative Agreement," "Grant," and "Award" are synonymous.

Once the EEREP program is awarded, USAID Missions and Bureaus will be able to develop their own stand alone cooperative agreements or Associate Awards with either of the Leader Award holders without repeating the competition process, given the Associate Award fits within the terms and scope of the Leader Award in accordance with ADS 303. The Agreement Officer in the operating unit issuing the Associate Award and the Leader Award Agreement Officer's Technical Representative (AOTR) will jointly determine whether the program description of the Associate Award is consistent with the Leader Award program description. Each Associate Award will be awarded to the recipient of the Leader Award. Associate Awards can only be issued to the recipient of a Leader Award.

The applicant shall submit applications in accordance with instructions contained in Section II-H of this RFA. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications are not authorized for this RFA and will not be accepted.

Any clarification questions concerning this RFA should be submitted via email to [eereplwa@usaid.gov](mailto:eereplwa@usaid.gov) by the date listed above. 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.

Awards will be made to the responsible applicant(s) per the Evaluation Criteria provided in this RFA. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, award of any Leader or Associate Award is subject to the availability of funds.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. If there are problems in downloading the RFA and or amendments from the Internet, please contact the federal grants help desk at 1.800.518.4726 or via email at [support@grants.gov](mailto:support@grants.gov). Applicants are encouraged to sign up for updates on the RFA at [www.grants.gov](http://www.grants.gov).

By submitting an application in response to this RFA, applicants acknowledge receipt of any amendments to the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

Sincerely,

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## SECTION I – PROGRAM DESCRIPTION

### A. Program Overview

Under this RFA, USAID intends to award two Leader with Associates (LWA) cooperative agreements under the **Energy Efficiency and Renewable Energy Program (EEREP)**. The three central premises for the EEREP Program are:

1. Addressing global climate change will require aggressive efforts to use energy more efficiently and a substantial expansion in the use and supply of renewable energy  
Curbing greenhouse gas (GHG) emissions will require a fundamental transformation of energy systems in developing and developed countries, including aggressive efforts to use energy more efficiently and a substantial expansion of renewable energy supplies, including solar, wind, hydro, and bio-fuels. As developing and transition countries pursue economic growth, global energy demand is expected to increase by more than 50% by 2020 with more than two-thirds of this growth occurring in developing countries. As a result, most, if not all of the projected increased in global CO2 emissions between now and 2030 will come from developing countries. With the projected large investments in the energy sector to be made in the developing world over the next few decades, clean energy considerations must form an essential component of the planning process. De-linking energy consumption from economic growth and accelerating the shift towards low-carbon energy supplies will be critical for helping address climate change.
2. The U.S. Government (USG) will play a leadership role in promoting climate change and clean energy programs worldwide. USG's commitment to implementing clean energy programs world-wide continues to grow. The USG has re-assumed a leadership role in promoting energy efficiency and renewable energy supplies to assist developing countries with reducing their greenhouse gas emissions. As the foreign assistance arm of the U.S. Government (USG), USAID will play an important role in delivering climate change related international assistance. This entails facilitating technology development and transfer, promoting Low Emission Development Strategies, building local capacity, establishing appropriate policy and regulatory frameworks, establishing the necessary conditions for participation in international carbon markets, and developing innovative financing mechanisms.
3. Education, training, and skill development are necessary to develop clean energy programs, which often involve new technologies. These new programs require new financing and institutional arrangements and policy and regulatory frameworks.  
Given the limited experience that many developing countries have with designing and implementing clean energy programs, building local capacity will be a key element of EEREP. Moreover, USG staff responsible for designing and managing clean energy programs will need to be trained on global best practices. This can be challenging given that clean energy technologies are continuously evolving and the necessary financing arrangements and policy and regulatory frameworks can be complex. In

addition, stakeholders will need to learn of approaches that can take clean energy programs to a scale necessary to effect large-scale emission reductions. These premises form the core of USAID's effort to address the challenges of implementing clean energy worldwide.

## **B. Background<sup>1</sup>**

Reducing anthropogenic greenhouse gas emissions has become increasingly urgent. Emissions, mostly from the production and use of energy, are already altering the atmosphere in ways that are already having a discernible impact on the environment. Global surface temperature increased  $1.33 \pm 0.32$  °F between the start and the end of the 20th century. The Intergovernmental Panel on Climate Change (IPCC) concludes that most of the observed temperature increase since the middle of the 20th century was caused by increasing concentrations of greenhouse gases resulting from human activity such as fossil fuel burning and deforestation. Climate model projections summarized in the latest IPCC report indicate that the global surface temperature will probably rise a further 2.0 to 11.5 °F during the twenty-first century. Global warming is already changing the amount and pattern of precipitation, which is expected to lead to the expansion of subtropical deserts, the continuing retreat of glaciers, permafrost and sea ice, and increases in the intensity of extreme weather events, species extinctions, and changes in agricultural yields.

With the global economic contraction in 2009, world energy demand has plunged. Energy related greenhouse gas emissions are much lower than what they would have been if the recession had not occurred. This downturn has provided a brief reprieve and a narrow window of opportunity to set a new low-carbon trajectory for developing countries. Without a transformation of current energy policies and systems, projected demand growth will revert to its upward trend once the global economy begins to recover. New policy and regulatory frameworks, transfer of low-carbon technologies, access to financing, and capacity building are needed to influence investment and consumption decisions towards low-carbon options.

Non-Organization for Economic Cooperation and Development (OECD) countries will account for all the projected growth in energy-related CO<sub>2</sub> emissions from today through 2030. The bulk of this growth comes from China, India and the Middle East. However, with rapid economic and population growth and continuing urbanization and industrialization, energy demand from the Association of Southeast Asian Nations (ASEAN) countries<sup>2</sup> is expected to expand much faster than in the rest of the world. Furthermore, about 1.5 billion people still lack access to electricity, particularly in Sub-Saharan Africa and South Asia. Over the next 20 years, annual investments of \$35 billion are needed to provide universal access in support of much-needed social and economic development. The challenge is to ensure that these needs are met while minimizing the accompanying increase in CO<sub>2</sub> emissions to the extent possible.

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<sup>1</sup> This Background section is primarily drawn from the International Energy Agency, and 2009 World Energy Outlook.

<sup>2</sup> ASEAN countries include Brunei Darussalam, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand and Vietnam.

Charting a new low-carbon course for developing countries will require larger incremental investments in transport, power generation and bio-fuels production as well as in energy efficient equipment for households, business, and industry. This will require access to new financing options, notably carbon markets, and the transfer of low carbon technologies..

Increasingly, climate change and clean energy programs will also be shaped by national and international global climate change issues. Developing countries are implementing voluntary targets and actions for GHG mitigation. Further, commitments related to international agreements to mitigate global climate change – most recently the Copenhagen Accord – establishes listing of mitigation targets or actions by both developed and developing countries; sets transparency provisions to monitor and review implementation of these listed action; provides significant future funding for climate change for developing countries, and establishes a new mechanism to promote the development and transfer of technology. These international commitments, new technology transfer mechanisms, and the need to meet inscribed targets and implement inscribed actions will impact decisions on the design of country clean energy programs but also on objectives of USAID climate change and clean energy assistance.

### **C. Core EEREP Activities**

It is anticipated that the following types of activities will be undertaken under both LWAs:

- *Assessments and Program Design* for the purposes of describing, prioritizing, or evaluating clean energy programming, and/or developing specific recommendations for programming. Assessments should outline the state of the energy sector or describe energy usage in the targeted sector, the capacity of local actors and institutions, the conditions of physical infrastructure, major obstacles to overcome, conflict issues affecting the sector, the impact of international interventions, possible entry points, links to other sectors and sub-sectors, and strategies and priorities for programming. Assessments should also include analysis and estimation of expected GHG mitigation outcomes from clean energy interventions as well as take account of how predicted climatic changes will impact new and existing energy sector programs, particularly regarding their vulnerabilities and resilience to climate impacts. Program design should focus on interventions with the largest and most cost cost-effective impact on emission reductions or, for countries that aren't large emitters, should facilitate the development and implementation of low-carbon growth strategies. Assessments and program design activities will typically involve USAID personnel working with technical experts from the LWA recipient.
- *Baseline Analyses and Studies*: The development of renewable energy and energy efficiency projects requires sufficient baseline data and analyses. Analyses may be required to determine the suitability of sites for renewable energy systems. Feasibility studies may also be required to determine the economic and technical viability of specific projects and help shape their design. Deliverables may include renewable resource maps,

data collection and analyses, technical assessments for selecting and sizing appropriate systems, feasibility studies, and market assessments to determine demand for renewable energy products and energy efficiency products and services.

- *Pilot Programs* aimed at achieving results in the field while enhancing the state of knowledge by identifying best practices and principles, testing new methodologies or approaches, and analyzing program achievements to formulate recommendations for future programming in a range of countries, regions, and contexts. The pilot program should serve to identify USAID's comparative advantage for programming and the best practices to be utilized. The pilot program may include a range of activities, such as training, technical assistance, analyses, small grant programs, and pilot installations and may focus on a single country or region, or include multiple countries or regions.

The Pilot Programs may encompass a range of approaches such as deploying short-term or long-term advisors, conducting audits, studies and analyses, demonstrating new technologies, conducting public education campaigns, and providing limited commodities. The programs should support sector reform, where necessary, and develop local capacity of recipient country government institutions and other stakeholders. The pilot program should include an integrated evaluation component that tracks progress from the baseline, discusses the factors contributing to the program's success or failure in achieving the stated objectives, describes the best practices for use in future programming and recommends the applicability of the pilot program and methodology to other countries and regions where USAID has programming.

- *Evaluations* of ongoing or completed programs to review the effectiveness of various programming approaches, and provide a measure of the success of specific programs. Evaluations should follow a clearly established methodology based on questions specific to the particular program under review. Evaluations will result in specific programming recommendations to improve current programs, or enhance the effectiveness of future programs.
- *Training and Capacity Building Activities* for recipient country personnel and citizens to advance clean energy objectives, or for USG personnel to enhance their capacity to promote these objectives. Training and capacity building activities may include producing curricula, modules, and other training materials, as well as organizing workshops, conferences or other approaches for training personnel, in collaboration with recipient country educational institutions. Training materials might include reports, power points, videos, etc. that were used for the training.
- *Policy and Regulatory Support.* An appropriate policy and regulatory framework is critical for establishing the necessary incentives for increasing energy efficiency and scaling up of renewable energy supplies. Countries may need to develop and/or adopt national energy efficiency or renewable energy laws or acts which provide clear policy statements and comprehensive frameworks. Deliverables may include development of plans and strategies; drafting of laws, decrees, policies, and incentives; analysis of regulations and pricing structures; information systems and databases; studies to measure

program impacts (e.g., on economic growth, productivity, and employment); and institutional capacity building and training.

- *Producing and Disseminating Best Practices and Lessons Learned* to advance the state of knowledge in clean energy. Activities may include: conducting research studies on the state of the art practices; analyzing best practices and lessons learned for particular types of program approaches and methodologies; producing written reports to share information and analysis; developing written “toolkits” to provide guidance to field officers on addressing specific issues; organizing workshops, conferences, and other forums to improve upon or share information and analysis; developing web-sites or on-line platforms for knowledge sharing; and conducting information campaigns to disseminate and share knowledge and analysis and advance the state of the art.
- *Greenhouse Gas Accounting*, which provides a methodology to inventory emissions and removals, is necessary for quantifying the greenhouse gas benefits of climate change mitigation projects. To assist developing countries with clean energy planning, policy-making and carbon financing, these LWAs will support training and capacity building for developing country partners and other stakeholders on GHG accounting, especially the GHG Protocol, applying accounting tools and developing and implementing systems for meeting potential UNFCCC requirements for Monitoring, Reporting, and Verification (MRV). Activities might include training, workshops, analyses, and review of GHG emission inventories at the country, project, or organizational level.
- *Low Emission Development Strategies (LEDS)/Low Emissions Growth Strategies (LEGS)*: Providing support for climate change related activities including strengthening participation in the goals of the UNFCCC, developing and implementing Low Emission Development Strategies (LEDS)/Low Emissions Growth Strategies (LEGS) and Nationally Appropriate Mitigation Actions (NAMAs). These entail analysis of the technical and economic potential of policies and technologies to reduce GHG emissions. Deliverables might include the development of carbon abatement cost curves as well as development of processes and procedures for MRV of projects for measuring progress towards meeting mitigation objectives.
- *Gender Focused Programming is important given* women play an integral role in the production and use of energy. They are often the primary users of energy in the household and in small businesses. As such, they are poised to act as entrepreneurs in the sale or lease of clean energy equipment while also playing a critical role in the policy making and system design. In accordance with ADS 201.3.9.3, the EERE requires the full participation of women in clean energy development. Specific interventions must be designed to address the barriers women may face with respect to energy technologies and services.

## **D. Program Activity Areas**

USAID anticipates awarding two EEREP Leader with Associates Cooperative Agreements, each of 5 years duration. The LWAs will be under two themes: *Increasing Energy Efficiency*, which will focus on increasing energy efficiency to reduce GHG emissions in developing country economies and *Increasing Adoption of Renewable Energy*, which seeks to assist developing countries with promoting and establishing an expanded supply of renewable energy systems.

Although the Leader Awards are described as distinct clusters of activities related to either energy efficiency or renewable energy, it is expected that key personnel from each LWA will collaborate, as appropriate, in joint strategic thinking in their areas. Coordination meetings among the key senior professionals of the two LWAs and USAID technical officers will be held to ensure that EEREP objectives are being achieved.

Applicants may apply to one or both LWAs. Applicants must submit a separate application for each LWA. The program description listed for each LWA as illustrated below cover a wide range of thematic areas, as the strategic direction for USAID's EEREP has not yet been established in many countries.

### **EEREP Award 1: Increasing Energy Efficiency**

Reflecting the many opportunities related to Increasing Energy Efficiency, there are a wide range of possible activities. Based on initial assessments, the selected activities should be tailored to country conditions. Activity areas include but are not limited to:

1. *Energy efficiency services in the public/commercial sectors.* The use of green buildings and efficient appliances in the public/commercial sectors can contribute to significant energy savings, greenhouse gas reductions, and other environmental benefits. Emphasis may be placed on the public sector, as government facilities are often a country's largest energy user and biggest purchaser of energy consuming equipment. The government sector's buying power and "leadership by example" can be a powerful force to shift the market towards energy efficiency and generate broader demand for energy-efficient products and services. Under this activity, energy efficiency improvement services may be sought for public and commercial sector institutions and buildings. Activities could include energy audits, energy efficiency project design and implementation, development of supportive policies, laws, and directives; development of bidding documents, scale-up planning and implementation, and case study development and dissemination.

2. *Energy efficiency in water systems.* Every liter of water that passes through a water supply system has a significant energy cost. Water losses through leaks as well as poorly maintained and sized pumping systems can result in high levels of energy waste. Low- or no- cost improvements can result in 20% or more energy savings. Deliverables may include water/ energy audits, capacity building and installation of equipment for increased water/energy efficiency, demonstration projects, facilitation of financing, and policy support.
3. *Industrial efficiency.* Given the often large share of total energy use by industry in developing countries, efforts to improve industrial energy use can greatly reduce greenhouse gas emissions and enhance the overall competitiveness of facilities, through operating cost reductions, increased productivity, improved quality products and reduced waste/pollution. Under this activity, deliverables may include market assessments, energy audits, industrial energy intensity benchmarking, pilots and demonstrations, development of case studies, Monitoring and Evaluation (M&E), training and policy support.
4. *Energy efficiency financing and ESCO business development.* Financing is an essential component of an energy efficiency program and may include government funds, carbon finance, revolving funds, dedicated lending windows, credit enhancements and other instruments to facilitate access to energy efficiency project financing. Deliverables could include market/banking surveys, lending practice assessments, facilitating access to carbon market financing, development of project origination channels, program design and implementation, M&E, case study development and dissemination, and development of business models and marketing plans.

Energy service companies (ESCOs) can represent an attractive business model for bridging the gap between end-users and financing. Such models involve private sector participation and financing which allow technical risks to be transferred away from end-users and financiers and include inherent incentives for ESCOs to proactively develop projects. However, as the legal, business and financial infrastructures of developing countries vary, a broad range of 'ESCO' business models must be considered. Deliverables under this activity may include market surveys, guidelines for energy performance contracts and Monitoring and Verification (M&V) protocols, ESCO business training, custom 1-on-1 business/market planning support, development of pilot transactions and bidding, and linkages to existing financing programs.

5. *Market transformation.* Accelerating the development and adoption of energy efficiency products and technologies is imperative for mitigating global climate change. Activities may include energy standards and labeling programs, marketing and promotional campaigns, supplier surveys, establishment of associations and networks, financing for technology transfer, and working with governments on the development of policy and regulatory incentives. Additionally, accessing

international carbon markets will require establishment of advanced legal frameworks and monitoring assessment protocols, development and implementation of country specific carbon market mechanisms, specific project transaction support, as well as institutional and human capacity building;

6. *Utility energy efficiency.* Under this sub-theme, activities could include load management/demand response assessments, demand/integrated resource planning, bidding processes, assessments of transmission and distribution (T&D) networks, development of technical/non-technical loss reduction strategies and plans, retrofits/upgrades of generation facilities, improved distribution automation, and policy and regulatory support. Such measures can include both supply-side as well as demand-side options to improve the overall system efficiency of a utility network.
7. *Transportation.* Reducing emissions from vehicle use can be accomplished through better traffic management, enhanced public transportation, improved fuel and vehicle standards, and development of more efficient fuel and vehicle technologies. Activities could include analyses and assessments, strategies and planning, drafting of policies, rules, regulations, and standards, awareness raising, case study development, and pilots and demonstrations.

### **EERP Award 2: Increasing Adoption of Renewable Energy Supplies**

An expanded supply of renewable energy is paramount for achieving reductions in greenhouse gas emissions while meeting increasing demand for power. To date, developing countries have typically focused on the installation of small-scale renewable energy systems to serve remote, off-grid communities. However, with previous spikes in oil prices and growing concern about greenhouse gas emissions, USAID-client countries are more seriously investigating and, in a number of cases, installing large-scale, grid-connected renewable energy systems.

These may include systems for households (e.g. solar home systems and lighting, biodigesters, cookstoves) and villages (e.g. micro-grids) as well as larger scale, grid-connected renewable energy systems. Renewable energy supplies also include biofuels, as described below. Activity areas include but are not limited to the following:

1. *Renewable Energy Small and Medium Enterprises (RE SME) business development:* Renewable energy industries in developing countries are typically underdeveloped. Supplies and spare parts must often be imported and services for the installation and maintenance of systems may be very limited. Activities may include the development of business plans, investment strategies, sourcing, installation and maintenance of RE equipment, and marketing/ outreach strategies and campaigns. Assistance with identifying and utilizing new sources of financing as well as capacity building and training of local industry entrepreneurs are also potential activities.

2. *Local governance*: The effective operation and maintenance of village level renewable energy systems and their associated distribution systems requires appropriate governance mechanisms for collecting user payments, providing customer service, operating and maintaining the systems, and ensuring that resources are available for the longer-term sustainability of the systems. Activities may include assistance to local villages with the establishment of appropriate governance and management mechanisms.
3. *Cross-sectoral support*: Small scale renewable energy systems can be used to power community infrastructure, including schools, health clinics, and community centers, as well as economic activities such as agricultural operations and small businesses. Deliverables may include resource assessments, site and technology identification, system installation, training on operation and maintenance, identification of maintenance and service support, and monitoring of system operations.
4. *Household Energy*: Many households in developing countries utilize biomass and charcoal stoves of varying designs to meet their cooking needs, and rely on candles or primitive kerosene lanterns for lighting. Approximately 18% of black carbon is produced by developing country households in their burning of wood, dung and other biofuels for cooking and heating purposes. Black carbon particles have a warming effect on the atmosphere but they only remain airborne for weeks at most compared to carbon dioxide, which remains in the atmosphere for more than a century. Reducing black carbon can provide a rapid return on investment. Traditional cooking practices also have significant health and environmental consequences, particularly for women and children.

Improved cooking, lighting, and heating technologies and practices can significantly reduce solid fuel consumption and associated emissions. In some cases, reducing solid fuel consumption and eliminating associated 'black carbon' emissions may require moving households "up the energy ladder", i.e. substituting traditional solid fuels with cleaner liquid and gaseous fuels. To overcome the many barriers to the uptake of new technologies and practices, activities may include technical assistance for feasibility studies, social marketing campaigns, development and testing of alternative technologies and practices, design and implementation of pilot programs, identification of viable business models and micro-financing solutions, and monitoring and evaluation of program results.

5. *Bioenergy*: There is increasing interest in the development and use of biofuels, such as biogas and liquid fuels derived from plant materials (either bio-ethanol or biodiesel), to reduce greenhouse gas emissions and increase energy security. These may be on a large scale (e.g. biodigesters for municipal waste facilities) or at a village or household level (e.g. jatropha oil to power small generators). Developing countries may require expert assistance in assessing the feasibility and/or facilitating the design and implementation of both small- and large-scale bioenergy projects. Activities may

include feasibility assessments, cost-benefit analyses, surveys, case studies, and pilot program design and implementation.

6. *Financing*: Scaling up of the use of renewable energy supplies will require access by project developers to financing, including carbon finance, concessional loans and grants, guarantees and commercial loans. Innovative finance mechanisms are needed to address barriers of high up-front capital costs, real and perceived risks, and uncertain regulatory environments that suppress needed private sector capital investment. Institutional mechanisms must facilitate participation in carbon trade and markets, sale of carbon offsets to international carbon markets, sectoral Clean Development Mechanisms (CDM) or sectoral crediting, CDM program of activities, carbon tax or emission certification and compliance with possible future UNFCCC requirements for monitoring, reporting, and verification (MRV). Deliverables may include market/banking surveys, financial advisory services, assistance with matchmaking and advance market commitments, lending practice assessments, loan package preparation, training of project developers and financial institutions, development of business models, program design and implementation, and case study development and dissemination.

Significant new financial resources are likely to become available as a result of international and national climate change policies and agreements. New markets will be created for low-carbon energy technologies, new public funding will become available for incentives for clean energy investment, and international carbon markets will provide significant incentives for private sector investment. However, access to each new financial stream will require efforts by developing countries to establish credible and effective systems to plan, monitor, and report on opportunities for new investment and results achieved.

## **SECTION II – AWARD INFORMATION**

### **A. NUMBER AND VALUE OF AWARDS**

USAID anticipates awarding two Leader with Associate (LWA) Cooperative Agreements for the EEREP Program. Subject to the availability of funds, approximately \$2,500,000 will be available for each EEREP LWA Leader Award. Associate Awards totaling approximately \$5,000,000 are expected for each Leader Award but actual activity funding will depend on field demand.

### **B. ANTICIPATED START DATE AND PERFORMANCE PERIOD**

The anticipated start date is October 2010. The period of performance for the Leader Awards are five years from the date of award (of the Leader Awards). Associate Awards may be issued until the Leader Award expires and can be for a period of performance up to five years past the expiration date of the Leader Award.

### **C. SUBSTANTIAL INVOLVEMENT**

Leaders with Associate Awards shall be cooperative agreements and USAID shall engage in substantial involvement as described further below. Applicants should be explicit in their approach to managing the Leader Award as well as Associate Awards per the Substantial Involvement provisions, including responding to requests for Associate Awards.

The Agreement Officer has delegated the Substantial Involvement approvals listed below to the Agreement Officer's Technical Representative (AOTR). Any changes to the Program Description or the approved budget shall only be approved by the Agreement Officer *in writing*, after consultation with the AOTR.

USAID shall be substantially involved in the LWA Cooperative Agreements as follows:

- AOTR/AO Approval of the Recipient's Annual Implementation Plan
- AOTR/AO Approval of Specified Key Personnel
- Agency and Recipient Collaboration and Joint Participation

Specific substantial involvement provisions for Associate Awards will be identified for each award. The terms for the Associate Awards will be consistent with the Leader Award.

#### **D. ELIGIBILITY INFORMATION**

The EEREP LWA Cooperative Agreements will be fully competed, and competition is unrestricted. For-profit businesses must waive profits and/or fees to be eligible to submit an application. Faith-based and community organizations are eligible to apply. USAID encourages applications from new partners.

#### **E. APPLICATION AND SUBMISSION INFORMATION**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. **Applicants may apply for one or more of the two EERP awards. A separate application must be submitted for each EEREP award per the instructions outlined in Section II-H.** If submitting more than one application, neither application can reference the other. Each application must be a whole and complete package.

Applications should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover letter of this RFA. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. Late or incomplete applications may be considered at the discretion of the Agreement Officer pursuant to ADS 303.3.6.7.

#### **F. REQUIRED FORMS**

Applicants must submit their applications using the SF-424 form series, which includes:

- **SF-424, Application for Federal Assistance**
- **SF-424A, Budget Information – Nonconstruction Programs**
- **SF-424B, Assurances – Nonconstruction Programs**

These forms may be found at the following website:

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

#### **G. REQUIRED CERTIFICATIONS**

The following certifications are required and must be signed and included with the application: a) Certification Regarding Terrorist Financing in accordance with AAPD 04-14. (Please note that this certification requires your organization to ensure that recipients of subcontracts and grants are not listed as Specially Designated Nationals and Blocked Persons by the U.S. Treasury's Office of Foreign Assets Control.); b) Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs; c) Restrictions of Lobbying (See 22 CFR 227); d) Prohibition on Assistance to Drug Traffickers for Key Individuals (See ADS 206); e) Key Individual Certification: Narcotics Offenses and Drug Trafficking; and f) Survey on Ensuring Equal Opportunity for Applicants. See Annex H for full text of the required certifications.

## H. REQUIRED APPLICATION FORMAT

To facilitate the competitive review, each applicant must include in their submission a technical application and a cost application. Each application must be submitted electronically in two separate files to: [eereplwa@usaid.gov](mailto:eereplwa@usaid.gov). The electronic files must be labeled as follows: **for the technical application - "TECHNICAL-'YOUR ORG NAME'/'NAME OF EEREP AWARD YOU ARE APPLYING FOR' and for the cost application- "BUDGET-'YOUR ORG NAME'-'NAME OF EEREP AWARD YOU ARE APPLYING FOR'.** Hardcopies and/or supplemental information with live signatures may be requested thereafter by the Agreement Officer. USAID will consider only applications conforming to the format prescribed below.

### 1. TECHNICAL APPLICATION FORMAT

Technical proposals, sections a - j outlined below, must not exceed 25 pages. **PAGES OVER PAGE LIMITS MAY NOT BE EVALUATED.** Pages shall be written in English, using Microsoft Word, Times New Roman, 12 point font on standard 8 1/2" x 11" paper (210 mm by 297mm paper), single spaced, 10 characters per inch with each page numbered consecutively, and no less than 1" margins on all sides. Footnotes, charts, and tables will be included in this requirement

#### a. Cover Sheet that states the following:

- name of all organizations that are members of the partnership, if applicable
- name and contact information for the U.S. institution acting as the lead institution,
- Leader Award which is being applied for
- DUNS and EIN number for lead organization
- approval signatures by appropriate officials of the lead institution.

#### b. Table of Contents

#### c. Executive Summary

- The application's Executive Summary should summarize the key elements of the Applicant's Technical Application, including but not limited to the Technical Strategy and Approach, and provide **NO COST FIGURES** other than the TOTAL amount of USAID funds requested. The Executive Summary must also highlight information outlined in Section I-C: Core EEREP Activities and Section I-D: Program Activity Areas

#### d. Technical Approach and Expected Accomplishments

- Provide details on the proposed approach, its technical feasibility and innovation, and expected activities and deliverables. The applicant should clearly present how it would identify opportunities for promoting clean energy activities, prioritize interventions, ensure sustainability of capacity building activities and pilot programs, integrate gender sensitive programming and analyze the cost-

effectiveness and technical feasibility of the proposed approach, and implement recommended activities.

The technical approach should reflect all of the Program Activity Areas outlined in section I-D for the respective LWA being applied for and up to two additional proposed activity areas. Applicant should demonstrate an understanding of current best practices in the field. **NO COST FIGURES** other than the TOTAL amount of USAID funds requested.

**e. Proposed Personnel**

Applicants may propose up to 5 key positions and personnel and shall provide:

- Description of responsibilities and rationale for the key position(s).
- Narrative description (1 page max) of experiences and qualifications for the proposed personnel for the key position(s).
- Resumes for the proposed personnel for the key position(s).

Offerors may also include a table listing other proposed personnel with a short narrative of their qualifications and their proposed areas of work.

**f. Partnership Strength and Management Structure**

- Delineate the roles and responsibilities of the lead institution and key people who will manage the partnership.
- Describe each partner's role and responsibilities in the proposed activity areas as described in Section D and address the experience/accomplishments of key people responsible for achieving program objectives. Indicate whether or not the lead institution has existing relationships with these partner organizations and the nature of the relationship (e.g., subcontractor or sub-recipient).
- Describe how the activity will effectively use the strengths of U.S. and client country partners.
- Define the chain-of-command and communication models used to maximize efficient participation of all partners in the project.
- Indicate how staff performance, costs and activities will be monitored for maximum effectiveness, including the effectiveness of management decision making.
- Describe how developing country entities will be utilized to maximize sustainability of proposed activities.
- Detail private sector leverage and methodology for attracting additional partners to activities.
- Clearly indicate the partnership's own commitment to and process for matching funds and leveraging private sector funds. USAID requires a minimum overall cost-share of at least 5% and significant leverage of private sector funding is expected. Indicate whether other donor or external funding is necessary to supplement USAID funding in order to meet proposed objectives, and comment on status of such funding (i.e. in-hand, committed, or plans to obtain).

**g. Cost Sharing and Leverage**

- Clearly indicate the partnership’s own commitment to and process for matching funds and leveraging private sector funds. USAID requires a minimum overall cost-share of at least 5%. Significant leverage of private sector funding is not required but encouraged. Indicate whether other donor or external funding is necessary to supplement USAID funding in order to meet proposed objectives, and comment on status of such funding (i.e. in-hand, committed, or plans to obtain).

**h. Past Experience**

- Prior history with development and implementation of clean energy programs in developing countries, including description of ongoing or planned programs,
- Demonstrate capability to work with public and private sector developing country entities,
- Demonstrate ability to implement sustainable, scalable, and commercially viable clean energy programs in developing countries

**i. Addenda, Attachments and Supporting Materials**

- The Addenda should include (1) all resumes for Key Personnel of the lead institution and U.S. based and developing country based partners (limited to three pages per individual) mentioned in the application, (2) table of other proposed personnel, and (3) letter of support, signed by the appropriate official, from each partner. The one-page letter should indicate that the application has been reviewed by him/her, and specify agreement with the objectives presented in the application. The addenda, attachments and supporting materials must be in a separate file from the application.

**j. Past Performance**

Please include as an attachment, a description of all contracts, grants, and cooperative agreements which the applicant has implemented involving similar or related programs over the past three years (both non-governmental and governmental). Include the following:

- name and address of organization for which the work was performed,
- current telephone number of responsible representative of the organization for which the work was performed,
- agreement (or grant/contract) name and number (if any), annual amount received or each of the last three years, and beginning and ending dates, and
- description of project and project results.

USAID may contact the organizations provided to gather information that will be used to score the past performance selection criteria.

## 2. COST APPLICATION FORMAT

The cost application includes specific cost information for this project and additional required information from the applicant. This information is required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility.

1. **Leader Award budget:** The Recipient shall plan to implement a Leader award, based on a projected funding level of \$500,000 per year. Note again that all funding is subject to the future availability of funds.
2. **Associate Award budget:** Associate Awards will be subject to the needs, priorities and funding available to USAID Missions and offices. There is no ceiling on funding for Associate Awards. Associate Awards may run for up to five years from date of award.
3. **The award will not allow for reimbursement of any pre-award costs.**

The cost application must include the following:

- a) **Description of Costs**
  - i. A completed SF-424 form in which the applicant provides a summary and detailed budget for the Leader Award budget only. The applicant is instructed not to include any Associate Award budgets in the cost application.
  - ii. Detailed breakdown of each line item captured in SF-424;
  - iii. Breakdown of all costs according to each partner organization involved in the program;
  - iv. Separate and joint summary budgets for the Recipient and any partner organizations. The excel spreadsheet must be submitted electronically and text accessible. All formulas and macros should be unlocked and accessible for review .
  - v. The budget must have an accompanying detailed budget narrative that provides detailed justifications for all costs for implementation of the program being proposed. Combined with the spreadsheet, the budget narrative must provide sufficient information to determine the reasonableness and realism of all proposed costs.
  - vi. The budget must provide a breakdown of the financial and in-kind cost share contributions, converted to dollar value, of all organizations involved in implementing this Cooperative Agreement. Please indicate clearly if the cost share will be in-kind or cash in the budget and budget narrative.
- b) **Negotiated Indirect Cost Rate Agreement (NICRA):** A current NICRA or rate agreement with another federal agency or audited financial statements for the Recipient and any proposed partner organizations must be submitted.

Applicants that do not currently have a NICRA from their cognizant agency shall also submit the following information:

- i. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID; and
  - ii. Projected budget, cash flow and organizational chart
- c) **Additional evidence of responsibility:** Applicants should submit any additional evidence of responsibility which will assist the Agreement Officer to make a determination of responsibility. :
- i. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
  - ii. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant - nongovernmental and governmental.
  - iii. 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.
  - iv. Has a satisfactory record of integrity and business ethics; and
  - v. Is otherwise qualified and eligible to receive an award under applicable laws and regulations (e.g., EEO).
- d) **Other:** Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual and may be subject to pre-award survey.

## I. SUBMISSION DEADLINE

Applicants must submit their applications via the instructions in Section II-H no later than the deadline on the cover letter. The date and time of receipt of the email will be used as measures of timeliness.

## J. OTHER SUBMISSION REQUIREMENTS

1. 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 and may deem the application unresponsive.
2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application.
3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
  - a) Mark the title page with the following legend: "This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate

this application. If, however, a 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 cooperative 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 sheets"; and

- b) Mark each sheet of data it wishes to restrict with the following legend: "Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."
4. It is the responsibility of the applicant to ensure that the application is received via email in its entirety.

## **SECTION III – APPLICATION EVALUATION INFORMATION**

### **A. EVALUATION CRITERIA**

The criteria listed below are presented by major category in order of descending importance, 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.

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve: (a) to identify the significant matters which applicants should address in their applications and (b) to set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria. USAID will award to the applicant whose application(s) best meet(s) the program description and represent(s) cost effectiveness and cost realism to the Government, all things considered.

The Government intends to evaluate applications and award agreements without discussions with applicants. However, the Government reserves the right to conduct discussions if later determined by the Agreement Officer as necessary.

#### **1. Technical Approach 30 points**

- **Technical Feasibility:** Applications should demonstrate an understanding of best practices related to EEREP program components and propose approaches that are technically sound and consistent with developing country realities and conditions. Applicants should clearly demonstrate that their technical approach will achieve transformative outcomes in each activity area described in Section I-D. Proposal should also address gender issues and strategies for integrating women into the EEREP activities. **(15 points)**
- **Sustainability and Replicability:** Proposals should demonstrate sustainability, commercial viability, and replicability of activities. **(10 points)**
- **Innovation:** The proposal should demonstrate and suggest innovative approaches, such as adopting a successful approach from one region/country to another or developing a new/creative approach. **(5 points)**

#### **2. Personnel 25 points**

- **Key Personnel:** Explain and demonstrate technical and managerial qualifications of proposed Key Personnel and the extent to which their responsibilities are responsive to and enhance the proposed activities.

The application should demonstrate personnel's experience in working in proposed field in developing countries and contributing towards the design and implementation of clean energy programs. **(15 points)**

- Other Personnel: Demonstrate the applicant's ability to access qualified expertise in a range of relevant subject matters in the United States and abroad. **(10 points)**

**3. Partnership Strength and Management Structure** **25 points**

- Synergistic Partners: The application must show the partners' complementary strengths and a clearly defined vision of how the partners can cooperate to their mutual benefit and to the benefit of their counterparts in USAID client countries. The proposed activities must be well within the technical capabilities of the assembled partnership. The application should demonstrate the ability to draw on private sector expertise, leverage private sector funding, and include developing country firms in the project team. **(15 points)**
- Effective Management Structure: The application must show the extent to which the management structure is effective, efficient and supportive of field operations and maximizes the effective participation of all partners. The partnership must demonstrate ability to work productively with both public- and private-sector entities, particularly those from developing countries. **(10 points)**

**4. Past Experience** **10 Points**

- Demonstrate experience with development and implementation of clean energy programs in developing countries, including brief description of ongoing or planned programs;
- Demonstrate experience working with public and private sector developing country entities including utilization of developing country entities for implementation of significant portions of past programs;

**5. Past Performance** **10 Points**

- Applicant's past performance with the development and implementation of clean energy programs in developing countries

**Total 100 points**

## **2. Cost Application Evaluation**

Cost shall not be scored. After the technical evaluation is complete, the cost/application of all applicants submitting a technically acceptable application will be evaluated for cost effectiveness and cost realism.

Cost share of at least 5 % is **required** for this program. Cost share will be evaluated as a component of cost effectiveness and may have an impact in the evaluation of the cost application.. In addition, the applicant's cost share contribution will be reviewed for realism and to verify that the applicants meet the standards set in 22 CFR 226.23 for U.S. organizations, or the Standard Provision entitled "Cost Sharing" for non-U.S. organizations (See 22 CFR 226.23; and Standard Provisions for Non-U.S. Nongovernmental Recipients).

Global Development Alliances are also encouraged for this program. Any private sector leverage provided through any such alliances is not a separate evaluation criterion, but may have an impact in the evaluation for cost effectiveness .Information regarding GDAs may be found at the following website.  
[http://www.usaid.gov/our\\_work/global\\_partnerships/gda/](http://www.usaid.gov/our_work/global_partnerships/gda/)

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

### **1. POST-SELECTION INFORMATION**

Following selection of an awardee, USAID will inform the successful applicant concerning the award. A notice of award signed by the Agreement Officer is the official authorizing document, which USAID will provide either electronically or in hard copy to the successful applicant's main point of contact.

USAID also will notify unsuccessful applicants concerning their status after selection has been made.

### **2. DEVIATIONS**

There are no standard provision deviations contemplated under this award.

### **3. GENERAL INFORMATION ON REPORTING REQUIREMENTS**

The Recipient shall submit Annual Implementation Plans and Reports for the Recipient's Program with format, content and time schedule substantially as described below. Implementation Plans and reports shall be prepared to be available for public reference and limited distribution. Financial or other proprietary information can be provided in an Addendum for USAID and noted in the Implementation Plan or report. Reporting

requirements detailed below refer to the Leader Award; reporting requirements for Associate Awards will be developed in conjunction with each Associate Award.

- a. Annual Implementation Plans** will be required each year for the Recipient's program, with plans developed based on USAID's fiscal year (October 1 through September 30). The first Annual Implementation Plan will be due 30 days after award. The second Annual Implementation Plan will be due on October 1, 2011 and annually on October 1 thereafter. Implementation Plans will be submitted and discussed with the Agreement Officer's Technical Representative (AOTR). USAID approval by the AOTR is required for each Annual Implementation Plan.
- b. Annual Reports** will cover all of the Recipient's Program activities over the course of a fiscal year (October 1 through September 30). The Annual Report must be submitted by September 30 of each fiscal year a Program is funded. The Recipient shall make its best effort to produce a comprehensive Annual Report, but there may be occasions when some program activities and results are carried over for reporting in the subsequent year. The September 30 deadline for Annual Report submission is necessary to meet USAID reporting requirements and minimize ad hoc requests for performance and impact data.

Annual Reports should summarize the status of project implementation over the year, as assessed against planned activities. Reports should include, but are not limited to, the following:

- Summary of Experience with Program Implementation
- New and Existing Associate Awards
- Explanations of Deviations from Expectations for Performance Indicators
- Major Impacts and Accomplishments over the Reporting Period
- Major Implementation Challenges
- Expected Trends

No fixed page limitations are imposed.

**c. PowerPoint, Website, Success Stories, and Videos:** Six months after award, a PowerPoint presentation on the program activities must be submitted, covering all of the topics listed above for the annual report. This PowerPoint will be continuously updated throughout the course of the project. Web sites shall be in accordance with ADS 557.3.4

The Recipient shall develop a program website to be posted six months after award and updated regularly. The website shall provide an overview of all activities under the Leader Award as well as all Associate Awards.

In addition, qualitative descriptions of success stories and achievements to illustrate program impacts shall be submitted, in conjunction with annual reports and as requested by USAID AOTR. Presentation of success stories in the form of videos are also highly encouraged.

**d. Ad Hoc Reports** shall be provided by the Recipient as requested by the Agreement Officer (AO) and/or the USAID AOTR. Many of these reports may be in response to requests from Congress or other USG Agencies regarding the USG climate change program, particularly as the funding for this program falls under a Congressional Directive.

**e. Performance Monitoring Plan and Performance Reports:** A Performance Monitoring plan will be due 30 days after start date for the Leader and each Associate Award. Performance reports are due quarterly 2 weeks after the end of each quarter, and will include data on Performance and Impact Indicators for each site/policy activity, including gender disaggregated statistical data on indicators. In addition to reporting on USAID standard and custom indicators, the performance reports are required to present the information contained in 22 CFR 226.51(d). Relevant standard indicators will be found in Foreign Assistance Framework section 4.4.1: Modern Energy Services and 4.8.2: Clean Productive environment (see: <http://www.state.gov/f/indicators/index.htm>).

**f. Final Report** shall be submitted at the end of the Program. This may be in lieu of the last Annual Report, if the program ends at the end of a fiscal year. The Final Report shall contain the information contained in 22 CFR 226.51(d). The Final Report shall provide a comprehensive presentation of the experience, activities and results achieved under the program. The format for the Final Report shall be discussed with the USAID AOTR prior to its preparation. Final Project Reports should include, but are not limited to, the following:

- i. Executive Summary
- ii. Over-all Summary of Implementation Experience
- iii. Status of Associate Awards and Accomplishments in Extending Impacts of the EEREP Program
- iv. Summary of Activities and Accomplishments by Project
- v. Data on Performance and Impact Indicators for Each Project
- vi. Listing of Major Deliverables and Accomplishments
- vii. Key Impacts and Successes and Challenges during the Project
- viii. Major Lessons Learned
- ix. Recommendations for the Future

The Final Report shall include an assessment of progress made toward accomplishing the project objectives and expected results, significance of these activities and accomplishments, and potential future impact resulting from project achievements. Inclusion of selected “success stories” is encouraged. The final report should also include a final fiscal report that describes how funds were used.

**g. Financial Reporting.** The Recipient shall submit one original and one copy of each required financial report. Financial Reports shall be in keeping with 22 CFR 226.52. Financial Reports will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

- i. The SF 425 shall be submitted electronically to the AOTR and copied to the Agreement Officer. Note to
- ii. The SF 272 and 272a (if necessary) will be submitted via electronic format to the U.S. Department of Health and Human Services (<<http://www.dpm.psc.gov>>). A copy of this form shall also be simultaneously submitted to the Agreement Officer and the Cognizant Technical Officer.
- iii. In accordance with 22 CFR 226.70-72 the original and one copy of final financial reports shall be submitted as follows: M/FM, the Agreement Officer, and the AOTR.

**h. Program Evaluations.** The Recipient may, at its own initiative, conduct internal Program Evaluations to improve its program planning management. Plans for such evaluations shall be included in the Annual Implementation Plans. Copies of such internal evaluations funded with LWA Cooperative Agreement funds shall be provided to USAID. In addition, USAID may fund and carry out External Program Evaluations as deemed necessary to improve management and planning. Discussions between USAID and the Recipient shall precede such external evaluations, findings from which will be discussed in joint reviews. The Recipient shall collaborate with USAID in carrying out such external evaluations.

**i. Submission of Reports.** In reporting for the Leader Cooperative Agreement, the Recipient shall submit electronic copies of reports to the AOTR and AO in USAID/Washington.

For the Final Report, the Recipient shall submit an original to the USAID/Washington AOTR, one copy to the Agreement Officer, and one electronic copy to the Development Experience Clearinghouse (DEC). Documents submitted to the DEC should be sent in original format via email to:

E-mail (the preferred means of submission) : <[docsubmit@dec.cdie.org](mailto:docsubmit@dec.cdie.org)>

U.S. Postal Service:

Development Experience Clearinghouse  
8403 Colesville Road, Suite 210  
Silver Spring, MD 20910  
Fax Number: (301) 588-7787

Please reference web site [http://www.dec.org/submit\\_doc.cfm](http://www.dec.org/submit_doc.cfm) or contact one of the following concerning any questions your organization may have on the reporting requirements:

Development Experience Clearinghouse  
E-mail: docsubmit@dec.cdie.org  
Phone: (301) 562-0641  
USAID/PPD/DEI  
Phone (202) 712-4696

## **SECTION V – AGENCY CONTACTS**

Please send all questions or comments during the RFA process to:

*eereplwa@usaid.com*

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. 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.

## **SECTION VI – OTHER INFORMATION**

### **1. USAID’S RESERVED RIGHT**

USAID reserves the right to fund any or none of the applications submitted.

### **2. OTHER INFORMATION**

**a) Acknowledgement of Amendments to the RFA:** By submitting an application in response to this RFA, applicants acknowledge receipt of any amendments to the RFA.

**b) 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 Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

**c) Branding Requirements.** In an effort to more accurately credit the American people for the foreign assistance they finance, USAID has engaged in a branding campaign. Effective August 26, 2005, all USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with AAPD 05-11. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. **AAPD 05-11 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy.** [http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd05\\_11.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf).

**d) LWA Assistance Mechanism.** This RFA is issued for Leader with Associates Cooperative Agreements. The Leader Awards will be issued to successful applicants and will provide for the Recipients to oversee worldwide programs of technical assistance for USAID’s Energy Efficiency and Renewable Energy Programs. USAID Missions, or other USAID operational units, may fund additional work through Associate Awards. These Associate Awards will each have their own activity description, but must fall within the overall scope of the leader program description (as outlined in the Leader Award agreement), and will otherwise be considered to be covered by the terms and conditions of the Leader Award. The Recipients will be the recipients of all funds for each Agreement, including for any Associate Awards. Responsibility for the core program under the Leader Award and any Associate Awards remains with the Recipient, even though it may make sub-awards for implementation.

After the Leader Cooperative Agreements are awarded, copies of the awards will be sent to all Missions along with any necessary guidance or instructions regarding issuance of Associate Awards.

1. Issuance of Associate Awards. Prior to issuance of an Associate Award, the requesting office or Program Management Team in the Mission (or USAID/W) shall consult with the AOTR in EGAT. After receiving EGAT AOTR concurrence, the appropriate Mission personnel shall request the Recipient to provide an application (specific Program Description and budget) to the Mission. The application shall be reviewed by the appropriate technical personnel, and the Agreement Officer shall be responsible for cost review and negotiation of the Associate Award. The Mission has the discretion to decide whether or not to award the Associate Award. The Mission Agreement Officer and Mission AOTR are responsible for the administration of the Associate Award.

2. **Grant vs. Cooperative Agreement.** Even though the Leader instruments will be cooperative agreements, Missions may issue an Associate instrument as either a grant or cooperative agreement.
3. **Competition.** Once a recipient is selected pursuant to this LWA RFA, no further competition or waiver of competition is required for any Associate Awards awarded within the terms of the Leader. The competition under this RFA covers the initial Leader Awards, which will provide leadership for regional and/or worldwide activities and for subsequent Associate awards providing support to missions and offices. In this manner, Missions and USAID/Washington bureaus may fund specific activities of the recipient that fit within the RFA/Leader program description through Associate Awards without further competition.
4. **Period of Performance.** The Leader Award will be issued for a period of five years. Associate Awards may be issued until the Leader Award expires and can be for a period of performance up to five years past the expiration date of the Leader Award.
5. **Certifications.** The required certifications, including validation of the umbrella organization as a single entity with a single accounting system, shall be validated prior to award of the Leader cooperative agreement. Prior to award of an Associate Award, the recipient must affirm that certifications of Associate awardee are valid.
6. **Reporting Requirements.** Reporting—both financial and performance—for Associate Awards is submitted directly to the Mission or Office that issues the Associate Award. The reporting frequency, i.e. semi annually or annually, content and format will be established in the Associate Award schedule. Copies of this reporting should be also be provided to the Leader Award AOTR

**e) Geographic Codes.** In accordance with the limitations on USAID's ability to procure goods and services outside of the United States (see the Foreign Assistance Act of 1961 and 22 CFR 228), source and origin of goods and nationality of suppliers of goods and services under the project will be from the United States, Geographic Code 000. Some local procurement is also allowed. Please reference Standard Provision C.16 Local Procurement for thresholds for 935, Local Procurement.

## **ANNEXES**

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### **ANNEX A**

#### **ACRONYMS AND DEFINITIONS**

The following acronyms are particular to this Request for Application:

ADS - Automated Directives System. USAID's operating manual.

AOTR – Agreement Officer Technical Representative. A USAID employee designated by the Agreement Officer to oversee a contract, grant or cooperative agreement on behalf of USAID

CIB - Contract Information Bulletin

EGAT - Bureau for Economic Growth, Agriculture and Trade

Host Countries - A developing country in which an EEREP program has activities

LWA – Leader with Associates, an USAID assistance mechanism that may be either a grant or cooperative agreement. The leader award establishes the agreement relationship under which associates may be awarded without further competition

Mission - A formally organized USAID unit in a developing country led by a Mission Director, or a Country Representative

NGO - Non-governmental organization

RFA - Request for Applications.

USAID - United States Agency for International Development

USAID/W - Washington headquarters of the United States Agency for International Development

## **ANNEX B**

### **USEFUL REFERENCES**

Listing of federal grants application requests are at [<http://www.grants.gov>]

Development Clearinghouse: [[http://dec.usaid.gov/submit\\_doc.cfm](http://dec.usaid.gov/submit_doc.cfm)]

Requirements and standard formats/logos for USAID branding requirements:  
<http://www.usaid.gov/branding/assistance.html>

Leader with Associates Awards, applicants are referred to CIB 99-10  
[\[http://www.usaid.gov/business/business\\_opportunities/cib/pdf/cib9910.pdf.\]](http://www.usaid.gov/business/business_opportunities/cib/pdf/cib9910.pdf)

USAID's Policy Framework for Bilateral Foreign Aid  
[\(\[http://pdf.dec.org/pdf\\\_docs/PDACG244.pdf\]\(http://pdf.dec.org/pdf\_docs/PDACG244.pdf\)\)](http://pdf.dec.org/pdf_docs/PDACG244.pdf)

## **ANNEX C**

### **MANDATORY PROVISIONS**

1. Mandatory Standard Provisions for U.S. Nongovernmental recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/refindx3.htm>
2. Mandatory Standard Provisions for Non-U.S., Nongovernmental recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/refindx3.htm>

## **ANNEX D**

### **Budget Preparation Guidance**

The following object class categories are those required on USAID Form 424A (Section B – Budget Categories):

#### Personnel

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

#### Fringe Benefits

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits and other items.

#### Travel

This category includes all projected travel, per diem and other related costs for personnel except consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies.

#### Equipment

In accordance with 22 CFR 226, ‘equipment’ means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. Applicants may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

#### Supplies

In accordance with 22 CFR 226, ‘supplies’ means all personal property excluding equipment, intangible property, debt instruments and interventions.

### Contractual Services

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grant, which should be included in other direct costs.

### Construction

N/A

### Other Direct Costs

Applicants are to identify all costs associated with training of project personnel.

Applicants planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The Applicant should provide information on any costs attributed to the project not associated above; i.e., communications, facilitate, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all subgrants.

### Indirect Charges

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate. In the absence of a NICRA all costs must be charged as direct costs.

USAID Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program, if applicable. A cash match means that funds are used to support the budget elements discussed above. The cash value of donated equipment or supplies, must be documental.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424. The narrative must provide clear explanations for cost reasonableness, particularly when proposed costs exceed market rates.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B-Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative.

**SAMPLE COOPERATIVE AGREEMENT BUDGET**

SF 424, Sec. B, Item 6

Budget Cost Element	Object Class Category	Budget Amount
Program	Line a, b, c, & h	\$ _____
Procurement	Line d, e and f	\$ _____
Training	Line h	\$ _____
Indirect Costs	Line j	\$ _____
Program's Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient's Cost Share, if applicable		\$ _____
Total Program Funding		\$ _____

## ANNEX E

### ENVIRONMENTAL CONCERNS

#### 1. Conditions for Award:

Implementing agencies must adhere to USAID's Environmental Compliance Procedures, Title 22, Code of Federal Regulations, Part 216 (22 CFR 216<sup>3</sup>). Specific procedures for every new and/or amended program or project are set forth in this guidance.

Pursuant to the Initial Environmental Examination (IEE) for the EEREP program, all EEREP Leader with Associates awards shall be subject to the following conditions.

- a) There are no plans to procure or use pesticides of any kind or to recommend the use of pesticides of any kind in any of the activities related to this LWA. If an opportunity for pesticide procurement or use, or recommendation for pesticide procurement or use arises, the AOTR will ensure that no funds are spent on such procurement or use, or recommendation for procurement or use, until after an amendment to this IEE that addresses the pesticide procedures outlined under 22 CFR 216.3(b), including a Pesticide Evaluation Report and Safe Use Action Plan, is completed and approved in writing by the EGAT Bureau Environmental Officer.
- b) No non-indigenous species will be recommended or used in any activities without first requiring that an amended IEE be undertaken and approved by the Bureau Environmental Officer.
- c) The EGAT AOTR will have 22 CFR 216 environmental regulations compliance responsibility for EGAT-funded leader activities. Responsibility for Associate Awards will be that of the AOTR and Bureau Environmental Officer (BEO) of the originating/operating unit that is funding and managing the award.
- d) For each Associate Award a separate Initial Environmental Examination (IEE) or Request for Categorical Exclusion (RCE) will be required by the corresponding USAID funding Office/Mission/Bureau. If the potential impacts are significant, resulting in a Positive Determination, an activity specific scoping exercise and preparation of an Environmental Assessment (EA), consistent with 22 CFR 216.3, will be undertaken. Once approved, the funding Office/Mission/Bureau will forward a copy of the IEE to the Leader Award AOTR.
- e) The EGAT AOTR will assure that Leader awardees are fully aware of the threshold decisions. The Leader awardee will track Associate Awards under them for compliance with the threshold decision. The originating/operating unit's AOTR will be responsible for working with their Agreements Officer in assuring that appropriate language establishing the above responsibilities and assuring implementation of the above conditions will, as appropriate, be placed in all associate grant-making documents.
- f) Leaders will be required to develop a plan within their proposals to meet environmental compliance requirements and to monitor environmental effects.

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<sup>3</sup> [http://www.usaid.gov/our\\_work/environment/compliance/reg216.pdf](http://www.usaid.gov/our_work/environment/compliance/reg216.pdf)

Results from the monitoring will be included in Annual Performance Monitoring Reports.

- g) As part of its initial workplan, and all annual workplans thereafter, the Leader, in collaboration with the USAID AOTR, will review all ongoing and planned activities under EEREP to determine if they are within the scope of the approved Regulation 216 environmental documentation. Any new activities determined to be outside the scope of the approved Regulation 216 environmental documentation will require an amendment to this IEE for USAID review and approval. No such new activities will 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 will be halted until an amendment to the documentation is submitted and written approval is received from USAID.

## **2. Mitigation, monitoring and evaluation**

EEREP AOTRs will review environmental compliance on an annual basis through the workplan review, regular AOTR partner meetings and Annual Reporting process. AOTRs will assure that each Leader Award integrates a completed Mitigation and Monitoring Plan into the initial workplan and into subsequent Annual workplans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

Activities within workplans will be scrutinized by the AOTRs with respect to environmental impact. The AOTR will examine all activities proposed within EEREP workplans, whether they employ USAID or match funds. If an activity could possibly cause an environmental impact, the AOTR will work with the partners to assure that environmental compliance procedures are implemented. AOTRs will collaborate closely with Mission Environmental Officers and Regional Environmental Advisors (MEOs and REAs) to monitor impacts and will work together to oversee ongoing activities and ensure compliance with approved IEE recommendations.

To the extent possible, AOTRs will visit EEREP field sites at least once during the life of the Agreement. If AOTRs learn about any field trips planned to a EEREP site either by USAID or Recipient personnel, they will request the traveler to provide a brief update on any observations of environmental impacts. If new information becomes available that indicates that any ongoing activity is found to have a potentially significant effect, this determination will be reviewed and amended by the originator of the project and be submitted to the appropriate BEO for approval and, if necessary, an IEE amendment or an EA will be prepared.

*Associate Awards under EEREP.* It is likely that EEREP will attract multiple Associate Awards from a diversity of OUs. Responsibility for assuring environmental compliance of an Associate Award under EEREP rests with the OU that funds and manages the Award. However, the EEREP Leader AOTRs will provide overall guidance and technical assistance, together with appropriate MEOs and REAs, to assure that Associate Awards

meet the same environmental compliance standards as the Leader Award including in the design process.

### **3. Environmental Regulations and References**

USAID's general launching point for information relating to environmental assessments and guidelines are available at:

- a) [http://www.usaid.gov/our\\_work/environment/compliance/index.html](http://www.usaid.gov/our_work/environment/compliance/index.html)
- b) USAID's list of key contacts (Environmental Officers) in Bureaus and Missions at [http://www.usaid.gov/our\\_work/environment/compliance/officers.html#aec](http://www.usaid.gov/our_work/environment/compliance/officers.html#aec)
- c) USAID's Environmental Training Course Materials, including Title 22 of the Code of Federal Regulations, Part 216 that governs the U.S. government's environmental impact abroad. The site also contains various forms and templates relating to Initial Environmental Examinations. <http://www.encapafrika.org/EPTM.htm>

## **ANNEX F**

### **SAMPLE ASSOCIATE AWARD FORMAT AND SCHEDULE**

Mr. John Doe  
President  
XYZ, Organization  
Anywhere, U.S.A.

Subject: Award Number \_\_\_\_\_

Dear Mr. Doe:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as "USAID" or "Grantor") hereby awards to the XYZ Organization (herein after referred to as "XYZ" or "Recipient"), the sum of \$ \_\_\_\_\_ to provide support for a program in \_\_\_\_\_ as described in the Schedule of this agreement and the Attachment 2, entitled "Program Description."

This agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending \_\_\_\_\_. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This agreement is made to the XYZ, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to U.S. Non-Governmental Organizations"; Attachment 1, entitled "Schedule"; Attachment 2, entitled "Program summary"; and Attachment 3 entitled "Standard Provisions."

[NOTE - Do not include reference to 22 CFR 226 if Agreement is with a Non-US Organization]

Please sign the original and each copy of this letter to acknowledge your organization's receipt of the grant, and return the original and all but one copy to the Agreement Officer.

Sincerely yours,

Agreement Officer

Attachments:

1. Schedule
2. Program summary
3. Standard Provisions

ACKNOWLEDGED:

XYZ Organization

By: \_\_\_\_\_

Title: \_\_\_\_\_

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

FISCAL DATA

A. GENERAL

1. Total Estimated USAID Amount: \$ \_\_\_\_\_
2. Total Obligated USAID Amount: \$ \_\_\_\_\_
3. Cost-Sharing Amount (Non-Federal): \$ \_\_\_\_\_
4. Project Number: \_\_\_\_\_
5. USAID Project Office: \_\_\_\_\_
6. Tax I.D. Number: \_\_\_\_\_
7. CEC Number: \_\_\_\_\_
8. LOC Number: \_\_\_\_\_

B. SPECIFIC

(as appropriate)

1. MAARD Number: \_\_\_\_\_
2. Appropriation: \_\_\_\_\_
3. Allocation: \_\_\_\_\_

Part II Sample Associate Award Format

A. Purpose of Agreement

The purpose of this Agreement is to provide support for the program described in Attachment 2 to this Agreement entitled "Program Description."

B. Period of Agreement

1. The effective date of this Agreement is \_\_\_\_\_. The estimated completion date of this Agreement is \_\_\_\_\_.

[Note - For incrementally funded agreements or where pre-award expenses are authorized, add the following sentence:]

2. Funds obligated hereunder are available for program expenditures for the estimated period \_\_\_\_\_ to \_\_\_\_\_ as shown in the Agreement budget below.

C. Amount of Award and Payment

[Note - For fully funded agreements use the following:]

1. USAID hereby obligates the amount of \$ \_\_\_\_\_ for purposes of this Agreement.

2. Payment shall be made to the Recipient by \_\_\_\_\_ (Note - state method) in accordance with procedures set forth in \_\_\_\_\_. [Note - for U.S. Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

- or -

[For incrementally funded awards use the following in lieu of the above:]

1. The total estimated amount of this Award for the period shown in B.1 above is \$ \_\_\_\_\_.

2. USAID hereby obligates the amount of \$ \_\_\_\_\_ for program expenditures during the period set forth in B.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 shall be made to the Recipient by \_\_\_\_\_ (Note - state method) in accordance with procedures set forth in \_\_\_\_\_. [Note - for U.S. Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

4. Additional funds up to the total amount of the grant shown in C.1 above may be obligated by USAID subject to the availability of funds, satisfactory progress of the project and continued relevance to USAID programs.

D. Budget

[Note - the items included in the Budget, including local cost financing items, should relate to the results, activities or functions described in Attachment 2 - Program summary, not to specific cost items (such as salaries or travel) except for those listed at items 4-6 below. However, at the discretion of the Agreement Officer, an alternative budget may be appropriate.]

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with \_\_\_\_\_. [Note - For U.S. Organizations cite 22 CFR 226.25; for Non-US refer to Standard Provision entitled "Revision of Grant Budget."]

Cost Element	Total*		
	From** __to** __ \$U.S. Local Currency	From** __to** __ \$U.S. Local Currency	From** __to** __ \$U.S. Local Currency
1.			
2.			
3.			
4. Training			
5. Procurement			
6. Indirect Costs overhead			
7. Total		\$ _____	

\* Use all three columns for incrementally funded grants, otherwise use only this column.

\*\* Insert effective and expiration dates of grant or obligation/funding dates.

E. Reporting and Evaluation

1. Financial Reporting

The Recipient shall submit \_\_\_\_ (an original and two copies of \_\_\_\_\_) [Note - Agreement Officer to determine type of report, frequency of reporting periods and address]. Financial Reports shall be in keeping with \_\_\_\_\_ [Note - for US Organizations add: 22 CFR 226.52; for Non-US refer to appropriate Standard Provision]. For U.S. Organizations under Letter of Credit the following language shall be used:

“In accordance with 22 CFR 226.52 the SF 269 and 272 will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

1) The SF 272 and 272a (if necessary) will be submitted via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>) . A copy of this form shall also be simultaneously submitted to the Agreement Officer [NOTE: if Agreement Officer desires a copy] and the Cognizant Technical Officer.

2) The SF 269 or 269a (as appropriate) shall be submitted to the Cognizant Technical officer with one copy to the Agreement Officer [NOTE: if Agreement Officer desires]

\* 3) In accordance with 22 CFR 226.70 - 72 [Note: for Non-US organizations refer to appropriate Standard Provision] the original and two copies of final financial reports shall be submitted as follows: M/FM, the Agreement Officer (if requested) and the CTO. The electronic version of the final SF 272 or 272a shall be submitted to HHS in accordance with paragraph (1) above.

## 2. Program Reporting

The Recipient shall submit \_\_\_\_ [Note - specify number of copies, not to exceed the original and two copies] of a performance report to \_\_\_\_ [Note - specify name and title of Cognizant Technical Officer and the Agreement Officer, if desired, along with address]. The performance reports are required to be submitted \_\_\_\_ [Note - state frequency, not to exceed quarterly] and shall contain the following information \_\_\_\_\_ [Note - state reporting requirements, as related to the Program Description].

### Final Report

The Recipient shall submit the original and one copy to \_\_\_\_ [Note - specify name and title of Cognizant Technical Officer and the Agreement Officer, if desired, along with address] and one copy to USAID Development Experience Clearinghouse, ATTN: Document Acquisitions, 1611 N. Kent Street, Suite 200, Arlington, VA 22209-2111 (or e-mail: [docsubmit@dec.cdie.org](mailto:docsubmit@dec.cdie.org)). (NOTE – Agreement Officer to verify ADS 540 for detailed information on which categories of development experience documents should or should not be submitted to CDIE and appropriate format for electronic transmission.)

The final performance report shall contain the following information \_\_\_\_\_ [Note - state reporting requirements, as related to the Program Description].

### F. Special Provisions

[Note - Use this paragraph to delete inapplicable Standard Provisions or to add provisions of special applicability as authorized. Included should be waivers, including authorized local cost financing, and any alterations to the Standard Provisions or 22 CFR 226 which have been approved as deviations for the specific award.]

### G. Indirect Cost Rate

[Note - Establish the applicable indirect cost rate(s), base(s) on which they apply, and the Grantee's accounting period(s) they cover, as provided in the appropriate Standard Provision. If an Indirect Cost Rate Agreement has been executed by USAID or a cognizant Federal agency, such rate(s) are required to be incorporated herein if such costs are covered by the grant. The most current overhead information should be obtained from the Overhead and Special Costs and Contract Close-Out Branch (M/OP/PS/OCC).]

#### H. Title to Property

[Note - Specify to whom title will vest for property, by category if appropriate.]

[Note - For awards having a procurement element greater than \$250,000, add the following:]

#### I. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this grant is

\_\_\_\_\_.

[Note - For awards with a cost-share element add the following:]

#### J. Cost Sharing

The Recipient agrees to expend an amount not less than \_\_\_\_\_ [Note - put in percentage] of the total activity costs.

[For awards with US or Non-US Organizations which may generate Program Income add the following:]

#### K. 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 applied and used as follows: [Note - Agreement Officers in consultation with the Technical Officer must decide how Program Income will be applied: 1) added to the Project; 2) used to finance the non-Federal share; or 3) deducted from the total Federal share. All three may be picked as long as a descending order (i.e., "excess amounts may be applied to another alternative") is established in accordance with 22 CFR 226.24.

Agreement Officers are encouraged to be as specific as possible in detailing the appropriate types of activities Program Income may be applied for when using the additive option as described at 226.24(b)(1).

## ANNEX G

### PAST PERFORMANCE INFORMATION.

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

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

## ANNEX H

### CERTIFICATION REGARDING TERRORIST FINANCING IN ACCORDANCE WITH AAPD 04-14

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

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

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

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

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

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

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

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

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

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

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

Signed: \_\_\_\_\_  
(Typed Name and Title) \_\_\_\_\_  
(Name of Organization) \_\_\_\_\_  
Date \_\_\_\_\_

**ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS  
GOVERNIGN NONDISCRIMINATION IN FEDERALLY ASSISTED  
PROGRAMS**

\_\_\_\_\_ (hereinafter called the "Applicant")  
(Name of Applicant)

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 AID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

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

If the Applicant 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 Applicant establishes to the satisfaction of the AID 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 program.

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 Applicant by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant 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 Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Applicant.

\_\_\_\_\_

(Applicant)

BY (Signature) \_\_\_\_\_ TITLE \_\_\_\_\_  
TYPED NAME \_\_\_\_\_ DATE \_\_\_\_\_



**PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR KEY INDIVIDUALS (SEE ADS 206)**

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. Your organization is 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 your organization makes a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.