

**TECHNICAL & OPERATIONAL
PERFORMANCE SUPPORT
(TOPS) PROGRAM**

Request for Applications (RFA)

Posting Date: August 27, 2009

RFA Number: USAID/M/OAA/FFP-09-00001

**Application Submission Closing Date:
October 27, 2009
12:00 PM (EST)**

Point of Contact: Jeanette Lee

**Phone: 202-712-5836
JLee@usaid.gov**



REQUEST FOR APPLICATIONS

RFA NUMBER: USAID M-OAA-DCHA-FFP-09-00001

Issuance Date: August 27, 2009

Deadline for Questions: September 27, 2009, 12:00 pm EST

Closing Date: October 27, 2009, 12:00 pm EST

Title: Technical and Operational Performance Support (TOPS) Program

The United States Agency for International Development (USAID) Bureau for Democracy, Conflict and Humanitarian Assistance Office of Food For Peace (DCHA/FFP) is seeking applications from eligible institutions, as described in Section III of this RFA, for a program titled “Technical and Operational Performance Support (TOPS)” through the award of one Leader with Associates Cooperative Agreement (also referred to herein as “Leader Award”).

With this RFA, USAID’s objective is to increase the effectiveness and efficiency of the Title II food aid programs by improving the technical knowledge and operations and promoting food aid commodity program best practices through coordination and delivery of institutional strengthening and capacity building support for current Title II awardees and prospective awardees worldwide. USAID is seeking assistance to:

- Identify audience knowledge needs.
- Synthesize and produce reliable, high-quality information, tools and services in user-friendly formats
- Use effective and appropriate information delivery systems.
- Support and expand information and knowledge exchange forums through on-line forums, working groups, discussion groups and more.

A thorough description of the program is provided in Section I of this RFA

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended, and the Food for Peace Act of 2008. Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations), may be paid under the agreement.

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

Subject to the availability of funds, USAID seeks to competitively award the TOPS Leader with Associates (LWA) Cooperative Agreement. USAID reserves the right to fund any or none of the applications submitted. Funding details are provided in Section II of the RFA.

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

1. Section I Program Description;
2. Section II Award Information;
3. Section III Eligibility Information;
4. Section IV Application and Submission Instructions;
5. Section V Application Review Information
6. Section VI Award and Administration Information;
7. Section VII Other Information-References;
8. Section VIII Annexes A - E

The preferred method of distribution of USAID RFA information is via the Internet. This RFA and any future amendments can be downloaded from <http://www.grants.gov>.

Applications must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. No late applications will be accepted.

To be eligible for an award, the applicant must provide all required information in its application. Applicants must submit the full application package pursuant to the requirements set forth in Section IV of this RFA.

Applications must be received by the closing date and time indicated at the top of this RFA cover letter at the place designated for receipt in the RFA Section IV, Application and Submission Instructions. **Applications submitted via fax or email will not be accepted.** Applicants should retain for their records one copy of all enclosures which accompany their application. Hard copies of the Technical and the Cost Application and any modifications thereof must bear the name and address of the applicant and **RFA # M-OAA-DCHA-xxx-0x-xxx**.

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. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Any prospective applicant who has questions concerning the contents of this RFA should submit them **in writing** to **Jeanette Lee** at jlee@usaid.gov and a copy to myself at lbutler@usaid.gov **by 12:00 PM EST on September 27, 2009**. Any additional information regarding this RFA will be furnished through an amendment to this RFA.

Thank you for your interest in USAID programs.

Sincerely,

s/

Lance Butler III
Agreement Officer
USAID

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

A. PROGRAM BACKGROUND

For more than twenty years, Food for Peace (hereinafter “FFP”) has provided institutional strengthening and capacity building support to its grantees. This support has assisted the grantees to address various aspects of FFP program management through the development and/or implementation of workshops, training, assessments and specialty tools and to provide financial and technical support to key personnel. Many of these achievements and results have been captured throughout the years.

In 2008, FFP completed an internal evaluation of the fourteen FFP-funded Institutional Capacity Building (ICB) grants’ final external evaluations to review the lessons learned and assist in the development of priorities for the next phase of institutional strengthening and capacity building. FFP reviewed findings from the ICB mid-term evaluations as well, summarized many critical challenges facing ICB grantees as a group, and highlighted key grantee accomplishments. For example, an abundance of tools have been produced with ICB grant resources to help with food aid commodity program design, assist with carrying out needs assessments, and improve the design of sectoral interventions. FFP highlighted networking opportunities and inter/intra-grantee interactions that could be exploited. Directed, those opportunities and interactions could be shared for the greater benefit of the food aid community. For this to happen, however, attention will have to be paid to the following key aspects of providing institutional strengthening and capacity building:

- Priorities in tool development efforts must respond to field demand. Tools should be: (1) focused on the “how”; (2) simplified and streamlined; and (3) developed in partnership with (and not in isolation from) field activities and other food aid grantees to the extent practicable. Grantees must ensure their final products undergo appropriate quality control along with peer reviews before being released to the field.
- Communication and coordination between headquarters and field staff are critical; the role of any institutional strengthening and capacity building must be better understood by field staff so they can work with headquarters in defining their requirements using appropriate needs assessment tools. The roles of headquarters and field need to be delineated.
- Institutional strengthening and capacity building must be consistent and responsible, ensuring that field and headquarters mastery of skills is achieved before going to implementation. Tools and training must be planned in advance in time for their use by grantees who implement multi-year and single year assistance programs.
- Monitoring and evaluation (M&E) systems must be improved at all levels (i.e., needs assessment, Indicator Performance Tracking Table use, indicator selection, ability to set realistic targets, etc.) to ensure the proper tracking of the outputs, outcomes and impacts generated by the program. M&E systems should also be able to account for technical assistance activities like training workshops results, training workshop follow up activities, and more.
- The role of collaborative partnerships should be considerably improved. Grantees should consider establishing a central mechanism for sharing, coordinating and networking among themselves. This mechanism could be used to identify common tasks, ensure quality control, and preserve the legacy of various grantees’ activities in order to improve programs’ effectiveness and efficiencies.

- The next phase of institutional strengthening and capacity building must address the needs and interests of various levels of experience given the differences that exist between (1) the capacity of potential grantees and new grantees and (2) the capacity of well-established, experienced grantees.
- Innovation in providing institutional strengthening and capacity building should be recognized with the intent to find new, creative ways to do things and transfer knowledge from one area and/or grantee to another.
- The inclusion of knowledge management is key; strategic communication channels should include a formal membership network.
- All working groups must be accountable for achieving progress with measurable goals and be linked to the establishment of a formal membership network.
- To make progress, those involved must be willing to learn from previous food aid program challenges presented in various documents including desk reviews of mid-term evaluations, final evaluations, etc. and at different events such as the International Food Aid Conference to identify what creates quality in programs and to support learning activities.

B. FUNDING

USAID intends to support a five-year leader with associate (LWA) cooperative agreement for assistance with TOPS. In general TOPS will be funded by the Office of Food for Peace. For bidding purposes, applicants should assume that 95 percent of the budget of the Leader Award will come from FFP funds. Funds will support TOPS activities that advance the Office's key functions of global leadership, research and innovation, and technical support to the field.

TOPS will be funded with both development assistance and Section 202(e) funds. Due to the funding sources, TOPS places emphasis on increasing the effectiveness and efficiency of Title II food aid commodity program performance, especially on the identification, establishment, sharing and adaptation of improved methodologies and best practices. However, both the Leader and any Associate Awards are authorized to accept funds from Missions, Regional Offices, Regional Bureaus or other Offices.

A USAID survey of Missions' demand for information suggests that Missions are interested in receiving centrally-produced documents that are easily adaptable, can be framed for the local context, and are relevant to local audiences. A few instances of Mission-funded translations of centrally produced products, such as wall charts, support this understanding. It therefore is reasonable to expect that once TOPS demonstrates that its services and products can easily be adapted for local use, Missions and Regional Bureaus may buy into the project through field support or other mechanisms or simply fund translations and local adaptations.

See Section II for additional information on award funding.

C. STRATEGIC OBJECTIVE AND OVERALL APPROACH

The Strategic Objective of this Project is: **Highest-quality information, knowledge, and best practices for improved methodologies in Title II food aid commodity program performance identified, established, shared and adapted through individual, collective, and/or formalized knowledge management, skills training, operations research and information dissemination activities.** All TOPS activities, both core and otherwise funded, will support achieving the Strategic Objective. The essential role of TOPS will be to identify topics of international and local relevance to meet the needs of primary and intermediary audiences.

The overall TOPS approach should increase the effectiveness and efficiency of Title II food aid commodity program performance tied to improving methodologies in food aid commodity management and logistics, community mobilization and organization; agriculture; maternal child health and nutrition; income generating activities; food for education; water and sanitation; natural resource management; environmental protection; sustainable food aid commodity program exit strategies; market interventions; local and regional procurement of food aid commodities; grants management; resource integration; and more.

Program functions and illustrative activities resulting from this RFA include a variety of methods to achieve improvement in systems, quality control, skills and abilities of grantees and sub-grantees. In order to carry out the dissemination of these best practices, FFP expects that grantees and sub-grantees will use such methods as:

1. Research and identify best practices in FFP food aid commodity programming and then design and undertake training in select, key best practices to include capacity building and institutional strengthening at both headquarters and field levels
 - Potential focus subject areas to develop best practices include, but are not limited to, quality control and systems improvements for assessments, food aid program targeting, food aid commodity management, monetization, urban, peri-urban and rural food aid programming, planning, implementation, monitoring and evaluation of integrated food and nutrition security programs.
2. Produce and disseminate information on best practices through a variety of mechanisms including a website, formalized communication and/or membership network organization, regional networks and meetings.
 - Potential activities for production and dissemination of best practices include, but are not limited to, desk reviews and field research of best practices; tool development and methodologies; development and production of manuals, guidelines, publications, and training modules; implementation of training and field experience workshops and seminars; operations research; establishment of a food aid commodity program network; mentoring and partnerships; and web-based communication and information dissemination materials.
3. Strengthen and increase food aid commodity programming collaboration at both headquarters and field levels to scale up interventions for effective and sustainable programs.
4. Improve capacity of grantees to design programs with sustainable results and impact.
5. Strengthen the capacity of programs on the ground to monitor and report their ongoing activities and results as well as to analyze them in order to strengthen their program design as part of their ongoing programming.
6. Provide small grants to Title II grantees to provide for complementary inputs, training or operations or other research to enhance the technical and operational performance of their awards independently or in conjunction with other partners. Small grants from the Leader will not exceed \$100,000, and are based on the availability of funds and FFP review and approval.
7. And, increase FFP food aid commodity programming collaboration with global alliances and initiatives.

Suggested activities tied to the methodologies described above include these possible illustrative examples of the food aid commodity program focused activities to support (1) collaboration, mentoring and partnerships; (2) technical assistance, tools' development and research; and (3) innovation and knowledge sharing:

- To improve collaboration and expanded mentoring and partnerships, for example, the grantee(s) may organize and support working groups comprised of interested member organizations to address technical

intervention areas and cross-cutting issues. With improved facilitation of PVO collaboration with USAID, other agencies and institutions in country, old and new members would be encouraged to participate and build their capacity in FFP food aid commodity management. This could lead to the development of case studies as well as other interventions to support mentoring and various information exchanges such as support to member organizations to establish formal partnerships and encourage joint projects.

- To expand technical assistance, tools' development and research, for example, the grantee(s) may undertake desk reviews of key papers and documents tied to innovative food security food aid programming and other related areas in order to produce technical materials and products, and create strategies and approaches for field use by member organizations. Formalized relationships with universities, international organizations and other partners would enhance technical resources and products and may lead to better integration with other USAID partnerships that work on improving policy frameworks, boosting agricultural science and technology, developing domestic market and international trade opportunities, securing property rights and access to financing, and protecting the vulnerable.
- For better innovation and knowledge sharing, for example, the grantee(s) may serve as a gateway to and facilitate communication among members and partners through virtual resources tied to the formalized communication and/or membership network organization such as list serves, electronic discussion boards, virtual resource centers, etc. This would support and enable membership network organizations to share their knowledge and experience including innovative and sustainable approaches, best practices and lessons learned at a national and international scale, while providing practical and timely technical assistance and shared learning opportunities for current, new or prospective grantees and other interested organizations.

D. TOPS STAKEHOLDERS

There are several stakeholders with important essential roles for the success of TOPS; some stakeholders have multiple non-competing roles:

Office of Food for Peace , USAID: The funder of the TOPS Project is the Office of Food for Peace (FFP) of the Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA) of USAID. FFP will oversee and manage—administratively, technically, and financially—the TOPS Project. FFP will suggest appropriate Title II food aid commodity program topics that are of global interest or that will contribute to its critical functions of global leadership, research and evaluation, and technical support to the field. Additionally, FFP will also review and critique products and services developed by TOPS and participation in the selection and approval of sub-grants.

Advisors: It is expected that the TOPS project will engage and routinely consult with international and national organizations that are recognized leaders in Title II food aid commodity programs, such as FFP Cooperating Agencies, OFDA, WFP, USDA/FAS, USDA/FSA, among others. The role of the advisors is to suggest topics and review and critique TOPS products and services.

Audiences: There are two main audiences of TOPS products and services: primary and intermediary audiences. Consistent with the TOPS vision, both audiences are producers and consumers of TOPS products and services as follows:

Primary audiences: TOPS will develop products and services for audiences whose actions affect the quantity, quality and range of Title II food aid commodity programs. Primary audiences include program managers, program officers and field monitors along with technical specialists from international and local NGOs who are assigned to the food aid commodity programs at headquarters and in the field; policy

makers, including those that make food aid commodity program decisions at a local, regional, and national level; and other stakeholders including professors and students at training, education and research institutions.

Intermediary audiences: The size, geographical dispersion, and connectivity of primary audiences make direct interactions challenging. Intermediary audiences are key informants, groups and networks with the ability to directly or indirectly influence decisions and behaviors of the primary audience. Key intermediary audiences are local NGOs, USAID missions, cooperating agencies (CAs) working at the local level, professional associations, international and bilateral organizations, and donors and foundations. TOPS will establish and maintain relationships with these audiences and will leverage such relationships to obtain, in a continuous and consistent fashion, intelligence about the knowledge and materials needs of the primary audience.

E. USAID REPORTING REQUIREMENTS

The Recipient will adhere to all reporting requirements listed below. The exact format for preparation of and timing for submission of all reports will be determined in collaboration with the Agreement Officer's Technical Representative (AOTR), formerly referred to as the cognizant technical officer (CTO). In addition to any reports that may be requested via technical directions under program activities, the Recipient shall submit the following reports to the AOTR, and when requested, to the Agreement Officer.

All reports shall be submitted by the due date for approval by the USAID AOTR. In the case of multiple implementers such as joint ventures or consortia, the Recipient shall submit a single report consolidating all partners' activities, progress towards results, and analysis of impact.

1. Annual Work Plan

At the beginning of each Agreement year, the Recipient will submit an annual work plan for USAID approval, on a schedule established by USAID. The work plan will outline all ongoing activities under the Leader Award that have been approved previously as a result of technical direction as well as benchmarks/results to be achieved over the course of the year. Recipients are encouraged to propose possible research projects for USAID consideration.

The annual work plan shall represent a joint work plan of the role of different partners in conducting activities.

2. Performance Monitoring and Evaluation Plan

At the beginning of each Agreement Year and in conjunction with the annual work plan, the Recipient will submit an annual performance monitoring and evaluation plan. The performance monitoring and evaluation plan will include specific benchmarks and indicators for measuring progress for all Leader Award and Associate Award activities that are ongoing, and it will specify how data will be collected and analyzed for each of the benchmarks and indicators. Measurement will focus on both output and outcome data, showing the specific impacts and results of program activities. As part of each annual performance monitoring and evaluation plan, data will be provided for each benchmark and indicator, including baseline data and any data collected to date. The performance monitoring and evaluation plan will also highlight how data collected will show the impact and effectiveness of program approaches and methodologies employed, and the plan will contribute toward enhancing understanding of best practices.

For all activities (core and those requested under Associate Awards), the Recipient will be responsible for establishing and maintaining a performance monitoring and evaluation plan with appropriate indicators linked to each intermediate result, a process to collect data on program performance in a timely and cost-effective manner, and a system for analyzing and using this data to consistently improve program performance. Specific

life-of-program targets will be agreed upon with USAID/W and Missions. Milestones and benchmarks toward achieving these results will be set out. Performance monitoring will measure progress in program implementation against these benchmarks. The Recipient will also be responsible for establishing a baseline within the first year of the award that will be used for measuring program progress.

3. Annual Progress Reports

The Recipient shall submit one original copy of the progress report to the Agreement Officer's Technical Representative of the Leader Award on an annual basis. In case of multiple implementers such as joint ventures or consortia, the Recipient shall submit single annual progress reports which consolidate activities and analyses of all partners into one document. The reports may be submitted by email and shall contain the following information at a minimum:

- a) A summary of activities conducted by all organizations under the Leader and Associate Awards. This section should highlight which partners have conducted activities, and include a description of progress towards results and relevant trends.
- b) An analytical description of overall program progress towards results that reflects and synthesizes achievements of all partners. This should not be a description of activities from each partner, but rather a broader analysis that examines the progress of all partners in the context of program objectives and expected results.
- c) Problems encountered, reasons why established goals were not met, if appropriate, and how challenges or problems will be overcome during the next reporting period – for example, a brief description of any challenges tied to the political context and/or enabling environment of the countries in which program activities are implemented.
- d) Data on all indicators established in the monitoring and evaluation plan for the Leader and Associate Award activities. Data should be disaggregated by gender and other historically disenfranchised populations where relevant.
- e) A comparison of accomplishments to the goals and objectives established for the period;
- f) A comparison of actual expenditures with budget estimates, including analysis and explanation of cost overruns or high unit costs, and any other pertinent information;
- g) Priorities for programming during the next reporting period.

4. Quarterly Financial Reports

The Recipient shall submit an original and two copies. Financial reports shall be in keeping with 22 CFR 226.52. The Recipient shall submit quarterly financial reports to the AOTR and Agreement Officer. In accordance with 22 CFR 226.52, the SF 269 and SF 272 will be the reports that are required for submission on a quarterly basis. However, any new federal financial reporting forms that replace the SF 269 and SF 272 are automatically substituted when OMB and/or USAID issue updates and directives accordingly. The recipient shall submit these forms in the following manner:

- a) The SF 272 and 272a (if necessary) must be submitted via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>) within 45 calendar days following the end of each quarter. A copy of this form shall also be submitted at the same time to the Cognizant Technical Officer.

- b) The SF 269 or 269a (as appropriate) must be submitted to the Agreement Officer's Technical Representative.
- c) In accordance with 22 CFR 226.70-72, the original and two copies of all final financial reports shall be submitted to M/FM/CMP-LOC Unit. The electronic version of the final SF 272 or 272a shall be submitted to HHS in accordance with paragraph (1) above.
- d) Country-By-Country Breakdown of Expenditures, if applicable: The Recipient shall list each country included in the program and the total amount expended for each country under the award for the reporting period in the "Remarks" block on the "Financial Status Report" SF 269 or SF 269A, or on a separate sheet of paper with the "Request for Advance or Reimbursement" SF 270.

5. Final Report

The Recipient shall submit the original copy to the AOTR of the Leader Award, one copy to the Agreement Officer, and one copy to USAID Development Experience Clearinghouse (DEC). The final report shall be submitted no later than 90 calendar days after the expiration of the Award and highlight the overall success of the program activities along with any challenges and address the key recommendations or observations included in the external mid-term and final evaluations (arranged by FFP). Reference 22 CFR 226.51. The final report shall consolidate activities and analyses of all partners, as well as their activities and progress towards results, into one document. This final report shall contain the following information:

- a) An executive summary of the accomplishments and results achieved;
- b) An in-depth analysis of impact and results that synthesizes achievements of all organizations that contributed towards program objectives. This section should clearly describe activities, major accomplishments and results achieved, including results for all of the activities under the Leader and Associate Awards;
- c) Final data, compared to baseline data, for all indicators included in the monitoring and evaluation plan for Leader and Associate Award activities. This section should include disaggregated data by gender, historically disenfranchised groups and other relevant groups identified.
- d) A summary of problems/obstacles encountered during the implementation, and how those obstacles were addressed and overcome if appropriate;
- e) Significance of these activities for capacity building for achievement of food and nutrition security worldwide;
- f) Lessons learned, best practices, and other findings from each of the Leader and Associate Award programs, along with recommendations for future programming under each of the program objectives;
- g) A comparison of actual expenditures with budget estimates, including analysis and explanation of cost overruns or high unit costs, and any other pertinent information.

F. MANAGEMENT REVIEW AND EXTERNAL EVALUATIONS

Leader Award and Associate Award annual progress reports, the performance monitoring and evaluation plans and financial reports will form the basis for the annual reviews and approval of annual work plans by USAID to review program directions, achievement of the prior year work plan objectives, and major management and

implementation issues. The results of the review will generate recommendations for any changes or improvements as appropriate.

USAID will conduct external mid-term and final evaluations to review the overall program progress, assess the continuing appropriateness of the program design, and identify any factors impeding effective implementation of the Agreement. Management of the Award, particularly the use of all consortia members, sub-grantees and others, also will be considered in the evaluations. Contingent upon funding availability, USAID will use the results of this assessment in determining whether or not to exercise the option to extend the LWA for two additional years beyond the five-year life span as well as how/whether to alter the LWA's future direction.

G. AUTHORIZING LEGISLATION

The authority for this Request for Application is found in the Foreign Assistance Act of 1961, as amended, and the Food for Peace Act of 2008.

H. PROGRAM ELIGIBILITY REQUIREMENTS

Prospective Applicants must be able to meet the eligibility requirements described in Section III in order to participate in this Request for Application (RFA).

I. AWARD ADMINISTRATION

For U.S. nongovernmental organizations, the 22 CFR 226, OMB Circulars, and the Standard Provisions for U.S., Nongovernmental Recipients will be applicable. Rather than attaching complete copies of 22 CFR 226 and OMB Circulars to the RFA, they can be downloaded from the USAID public website at: <http://www.usaid.gov/business/regulations/>.

J. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this award is 000 (U.S.). However, local procurement is authorized within the parameters specified in 22 CFR 228.40, "Local Procurement."

SECTION II – AWARD INFORMATION

A. LEADER AWARD

This Request for Applications is being issued with the intention of awarding one Leader with Associates Award (Leader Award) covering a specified worldwide activity, as described in the Program Description in Section I of this RFA. The Leader Award will be a Cooperative Agreement, which will extend over a period of five years. The Leader Award will be made pursuant to this RFA to the Applicant(s) whose application(s) conforming to this RFA offers the greatest value to the U.S. Government. USAID reserves the right to fund any or none of the applications submitted.

The Government may make an award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the Applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more Applicants.

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

When a requirement for activities under the Leader Award is identified, the USAID AOTR will issue technical directions to the Recipient. Prior to issuing such technical directions, however, the USAID AOTR may first provide an informal notification of the intended activity to the Recipient. Upon discussion between the AOTR and the Recipient on the scope and extent of these activities, the USAID AOTR will issue a technical direction to request implementation of the discussed activities. The recipient will provide a proposed program description and budget for the activity which must be approved by the USAID AOTR prior to implementation.

B. ASSOCIATE AWARDS

Subsequent Associate Awards will be awarded by the Office of Food for Peace, USAID Missions, Regional Bureaus, or other USAID offices. No further competition or waiver of competition is required for any Associate Agreements awarded within the terms of the Leader Award. Missions or other USAID offices may award their own Associate Awards without further competition.

Each Associate Award is a separate Assistance Agreement funded by the Office of Food for Peace or a USAID Mission, Regional Bureau office, as applicable, and awarded to the Leader Award Recipient to support a distinct local or regional activity that fits within the scope of the broad worldwide Program Description of the Leader Agreement.

An Associate Award may be a grant or a cooperative agreement, independent of whether the Leader Award is a grant or cooperative agreement. An Associate Cooperative Agreement must spell out the terms of any substantial involvement. Each Associate Award will determine its own cost-share needs. Under individual Associate Awards, the need for cost-sharing will be individually determined by each Mission or Bureau for its respective program. Associate Awards will not contain separate standard provisions. Instead, they will be subject to the provisions of the Leader award.

Associate Awards may be awarded for an initial five-year period. They may be issued through the final day of the period of performance of the Leader Award. Associate Awards may be extended for a cumulative term of up to ten years, but in no event may Associate Awards extend for more than five years past the expiration of the

Leader Award. In no case may an Associate Award extend more than five years into the future at any given time. The Leader Award will not be closed out until all the Associate Awards have been completed.

Associate awards will usually focus on technical development assistance, but could also be awarded for technical leadership activities. Associate awards must support the program objectives listed above in Section I. Associate awards are separate and distinct cooperative agreements and are not to be confused with small grants provided by the Leader to Title II grantees.

The selection of countries and substantive areas by USAID for the Associate Awards will be based on demand from the Office of Food for Peace and USAID Missions. The length of activities may vary from a few weeks to many months or longer. The recipient will likely be implementing activities simultaneously in multiple countries. Activities may range from performing basic assessments to implementing fully developed technical activities that support Title II programming.

Programming Process for Assistance Awards:

- a) When a requirement is determined and funding is identified for a new Associate Award, the USAID office will develop a Program Description. The Program Description will: provide background about the country, region or technical leadership objective; describe the objectives of the activity; indicate relevant gender-based constraints and steps to be taken to mitigate such biases; and designate an Activity Manager in the relevant Mission or office. (The Activity Manager is normally designated as the AOTR for the proposed Associate Award when the award is negotiated.)
- b) The Activity Manager (or Operating Unit) will then submit the Program Description to the Leader Award AOTR in DCHA/FFP for review. If the Leader Award AOTR determines that the proposed program is applicable to the objectives of the Leader Award, (s) he will approve the Program Description. After receiving approval, the respective Agreement Officer (for the proposed Associate Award) may forward the Program Description to the Recipient and request an application.
- c) The Recipient submits an application (including a description of activities and a detailed budget and other documents as requested) to the cognizant Agreement Officer for the Associate Award.
- d) The cognizant Agreement Officer (in coordination with the respective AOTR for the proposed Associate Award) will respond directly to the Recipient with approval or suggested revisions.
- e) Upon conclusion of discussions, the cognizant Agreement Officer will issue an Associate Award. The Associate Award Agreement Officer will designate an Associate Award AOTR in each award.
- f) The Associate Award Agreement Officer will provide a hardcopy of each Associate Award to the Leader Award AOTR in DCHA/FFP.

C. ESTIMATE OF FUNDS AVAILABLE

USAID anticipates providing approximately \$4,000,000 annually and for a total of \$20 million over five years for the Leader Award Cooperative Agreement for DCHA/FFP activities, subject to availability of funds. The \$4,000,000 would include the funds designated by the Leader for any small grants to Title II grantees. These levels are estimates only. Also, subject to the availability of funds, FFP anticipates providing approximately \$1,000,000 annually for Associate Awards over the five year period. Other USAID offices and Missions may provide additional funding for Associate Awards.

The anticipated total for Associate Awards is an estimate and there is no guarantee regarding the magnitude of Associate Awards in dollar or number of awards. Leader Awards and Associate Awards are separately obligated instruments.

D. PERIOD OF PERFORMANCE

The period of performance anticipated herein is five (5) years from the date of award.

E. SUBSTANTIAL INVOLVEMENT

A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer’s Technical Representative (AOTR). The intended purpose of the AOTR’s involvement during the award is to assist the Recipient in achieving the supported objectives of the agreement. The substantial involvement elements for this award are listed below:

- 1) Approval of Recipient’s annual work plans, including work plans for research and evaluation.
- 2) Approval of annual performance monitoring and evaluation plans.
- 3) Approval of key personnel and any changes; including any and all key personnel associated with programs carried out in specific countries under the Leader Agreement.
- 4) Sub-awards: Approval of any proposed sub-recipients and sub-awards including any small grants to Title II grantees. These sub-awards may be solicited or unsolicited. The AOTR will be substantially involved as follows:
 - (i) Participation in preparation of solicitation documents, if necessary, including the topics, program descriptions, match requirements, selection criteria and funding levels for applications; and
 - (ii) Participation on technical review panels for sub-grants and sub-contracts, if required, and selection of the final list of applications accepted for funding.

F. SUBMISSION OF DEVELOPMENT EXPERIENCE DOCUMENTATION (Per ADS 540.3.2.3 through 540.3.2.11)

(1) USAID recipients must submit one electronic and/or one hard copy of development experience documentation (electronic copies are preferred) to the Development Experience Clearinghouse at the following address.

Online (preferred):
<http://www.dec.org/submit.cfm/>

DEC Direct Mailing Address:
DEXS Document Submissions
8403 Colesville Road, Suite 210
Silver Spring, MD 20910-6368

Contact Information:
Telephone: +1 301-562-0641
Fax Number: 301-588-7787
E-mail: docsubmit@dec.cdie.org

(2) In addition, the recipient must submit one electronic and/or one hard copy of development experience documentation (electronic copies are preferred) to the DCHA/DG CTO for the Leader Award.

SECTION III – ELIGIBILITY INFORMATION

A. APPLICANTS

Qualified applicants may be U.S. private voluntary organizations; non-governmental organizations (NGOs); or private, non-profit organizations (for-profit companies willing to forego profits) including universities, research organizations, professional associations, and relevant special interest associations. Faith-based and community organizations are also eligible for award.

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

USAID also encourages applicants to develop consortiums with other responsible organizations.

B. MINIMUM QUALIFICATIONS

To be eligible for the Cooperative Agreement under this RFA, an organization must:

- a. Have demonstrated capacity in knowledge management, skills training and information dissemination for developing country audiences tied to food aid commodity programs.
- b. Have managerial, technical, and institutional capacities to achieve the results outlined in this RFA.
- c. Have the capacity and willingness to coordinate and collaborate with other organizations/groups in undertaking knowledge management and information dissemination efforts worldwide.
- d. Work with individuals who have the technical expertise to increase the effectiveness and efficiency of Title II food aid commodity program performance, especially on the identification, establishment, sharing and adaptation of improved methodologies and best practices through individual, collective, and/or formalized knowledge management and information dissemination activities.

C. COST SHARE

Cost share has been **required** to be 5% of the total estimated amount for the Leader Award. If the applicant proposes a cost share of less than 5%, it will be deemed as not responsive, and will be removed from further consideration.

Cost share may include funds contributed by the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses financially and in-kind to support implementation of activities at the country level. For consortium or partner type relationships, the cost share may be distributed among the various partners, but ultimately the organization that is awarded this LWA is responsible for meeting and tracking the 5% cost share. The cost share, whether in-kind or monetary, must have a direct impact on this program.

SECTION IV – APPLICATION AND SUBMISSION INSTRUCTIONS

A. SUBMISSION – GENERAL INSTRUCTIONS

1. Point of Contact

Jeanette Lee, Agreement Specialist
USAID
M/OAA/DCHA, Room 7.10-021
Ronald Reagan Building International Trade Center
1300 Pennsylvania Ave. N.W.
Washington, D.C. 20523

Any questions concerning this RFA must be submitted in writing to Jeanette Lee at Jlee@usaid.gov by September 27, 2009, at 12:00pm. Oral explanations or instructions given before award 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.

2. Application Closing Date

Applications must be received **not later than October 27 2009, at 12:00pm EST, (as noted on the RFA Cover Letter)** at:

(By U.S. Mail)
United States Agency for International Development
Attn: Jeanette Lee, M/OAA/DCHA/Room 7.10-021
Ronald Reagan Building International Trade Center
1300 Pennsylvania Ave. N.W.
Washington, D.C. 20523

(By Courier or Hand Delivery)
ATTN: USAID
Ronald Reagan Building International Trade Center
Washington, DC, 20523
Please use the phone at the visitor's desk (14th street lobby) to contact:
Jeanette Lee at Ext. 2-5836

The federal grant process is now web-enabled. Since November 1, 2005, the preferred method of distribution of USAID RFAs and submission/receipt of applications is electronically via [Grants.gov](http://www.grants.gov), which provides a single source for federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. In order to use this method, an applicant must first register on-line with [Grants.gov](http://www.grants.gov). If you have difficulty registering or accessing the RFA, please contact the [Grants.gov](http://www.grants.gov) Helpdesk at 1-800-518-4726 or via e-mail at support@usaid.gov for technical assistance. **Applicants may upload applications to www.grants.gov; however, hard copy submissions are still required as stated above.** It is the responsibility of the recipient of the application document to ensure that it has been received from [Grants.gov](http://www.grants.gov) in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

3. Deliveries to Loading Docks (for USAID/Washington only)

- a) All offerors delivering applications through carriers other than the U.S. Postal Services (USPS), United Parcel Services (UPS), or Federal Express (FedEx), including individual hand delivery, must complete a Freight Delivery Request Form (See Annex E) and provide it to the Contracts Specialist 72 hours in advance of delivery via facsimile. The facsimile number is 202-216-3132. The Contracts Specialist will forward the form to the Bureau of Management, Office of Administrative Services, Consolidation, Property and Services Division (M/AS/CPD), Ronald Reagan Building (RRB) & International Trade Center (ITC) Loading Dock Manager. The telephone number for ITC is (202) 789-4388. Once an RRB loading dock representative accepts the delivery, this will be considered the actual time of USAID's acceptance for compliance with ADS 303.3.6.7, *Late or Incomplete Submissions*.
- b) USAID delivery hours are from 9:00 A.M. to 3:00 P.M., Monday through Friday. Deliveries to be made before 9:00 A.M. and after 3:00 P.M. must receive prior approval from M/AS/CPD.
- c) Advance notice of 72 hours must be given for all deliveries to the RRB. The freight company must fill out the Freight Delivery Request Form, and then the customer must sign it and forward it to M/AS/CPD. GSA controls deliveries to the RRB and will not accept unscheduled deliveries. Deliveries through the ground-level doors, on either the 13th street, the 13 ½ street, or the 14th street, are strictly prohibited and will be turned away.
- d) All vendors must report to the Mobile Scanning Facility, 12th & C Streets, SW, Washington, DC, for security scanning prior to reporting to the RRB. When the scanning is complete, the vendor has 30 minutes to report to the RRB.
- e) The Loading Dock entrance is located at the 14th Street, South entrance to the RRB. The security guard will check for a valid state driver's license or commercial driver's license (CDL), vehicle registration card, and Bill of Landing/Manifest, and will inspect the vehicle for security purposes.
- f) Vendors making repeat daily deliveries [such as United Parcel Services [UPS, Federal Express (FedEx, and U.S. Postal Services (USPS)] must submit an annual roster with the required information to M/AS/CPD for the primary and alternate driver. Any changes to this roster must be immediately reported to M/AS/CPD.
- g) Preferred truck size is 55 feet from bumper to bumper. If a larger truck is needed, the maximum trailer size is 45 feet, and the cab has to be parked in another bay. Arrangements must be made in advance with M/AS/CPD to ensure that a bay will be available to park the cab during off-loading.
- h) Vendors and/or clients must mark at least two sides of all deliveries, see information below. The following information must appear on the package/packing slip:

AGENCY: UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
NAME: Jeanette Lee
ADDRESS: 1300 PENNSYLVANIA AVENUE, NW
RRB 7.10-021
WASHINGTON, DC 20523-7100
TEL. NUMBER: (202) 712-5836

- i) The driver is responsible for ensuring that all goods and materials are scanned through the loading dock x-ray machine. The driver must provide hand trucks, pallet jacks, or any other equipment needed to unload the delivery.

- j) After the goods have been inspected and approved by the GSA Dock Guards, the USAID Designated Receiving Agent will deliver them to the customer for USAID.
- k) If the Applicant elects to hand-deliver the application, USAID advises the Applicant that should security requirements at the RRB result in the application not reaching the designated office or being accepted by the Agreement Officer or his/her representative by the closing time for proposal submission, the proposal may be determined to be “late” in accordance with ADS 303.3.6.7, *Late or Incomplete Submissions*. Building security has the discretion to decide whether or not to allow the hand carrier into the building. Applicants must use the 14th Street door between U.S. Customs and USAID. Once past security and in USAID’s lobby, please contact the Senior Contracts Specialist mentioned above. Only packages/boxes hand-carried (suggest having the box unsealed and open to expedite clearance) may be delivered through this entrance. No handcarts, dollies, etc. are allowed in the RRB lobby. USAID advises that the Applicant provide a freight delivery form 72 hours in advance in case security does not allow the hand carrier through and routes them to the loading dock.

4. Instructions for Preparation and Submission of Applications

- a) Applications must be written in English and must be submitted no later than the date, time and location indicated in this RFA and its Cover Letter. Applications that are submitted late, incomplete or are non-responsive will not be considered. Applicants should therefore take account of the expected delivery time required by the application transmission method they choose, and are responsible for ensuring that their applications are received at the USAID submission location not later than the due date and time specified in this RFA. Please note that both the electronic and hard copies must be received at USAID designated location not later than the closing date of this RFA.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application.

- b) Hard copy of applications shall be submitted in two parts: (a) technical and (b) cost or business application. Technical applications shall be submitted in an original and one copy. Cost applications in an original and one copy. In addition to hard copies, technical and cost/business applications must be submitted on CDs in Microsoft Word 2003. Graphics/tables/spreadsheets must be formatted in MS Word 2003 or Excel 2003.

All copies of the technical and cost/business applications must be separately placed in sealed envelopes clearly marked on the outside with the following words “**USAID-Washington-DCHA-FFP-09-00001-RFA**” with the contents indicated: e.g. “**Technical Application**” or “**Cost/Business Application.**”

- c) 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.
- d) 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. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
- e) 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:

(i) Mark the title page with the following legend:

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

(ii) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

B. TECHNICAL APPLICATION

Applications should respond directly to the terms, conditions, specifications and provisions of this RFA (including all portions of the Program Description). Applications that do not meet the requirements of this RFA will not be considered for award.

All applications are expected to demonstrate capacity to address the full scope of the program objectives listed in Section I. It is possible that one organization alone may have all the skills necessary to pursue the program objectives in a variety of countries. However, organizations are encouraged to partner with other organizations or form a joint venture, consortium or other type of formal partnership as a means of demonstrating capacity to implement programs and meet program objectives. If applying as a consortium, the application should clearly identify the lead organization as well as include an explanation of how the consortium will be managed and how work assignments will be coordinated. USAID encourages Applicants to partner with regional or international organizations, as well as with indigenous organizations with regional or country-specific expertise. In this regard, USAID is trying to reach as many capable organizations as is possible and is looking for applications which contain realistic and well thought out arrangements for working with a variety of pertinent organizations.

Preparation Guidelines for the Technical Application:

USAID requests that applications be as concise as possible. Detailed information should be presented only when required by specific RFA instructions. **The written technical application is limited to twenty-five (25) pages plus the attachments identified below, and shall be written in English.** Applicants shall use only 8.5 inch by 11 inch (210mm by 297mm) paper, single-spaced pages, no less than 1" margins on all sides, and shall number each page consecutively. Offerors must use Times New Roman font 11 or a similar size typeset. **Information submitted in the technical application over 25 pages will not be evaluated.**

The technical application's 25 page limit does not include the following:

- Cover Page
- Table of Contents
- Dividers
- Description of Key Personnel, including resumes and biographical information,
- Sample Performance Monitoring and Evaluation Plan

- Past Performance Report Short-Form of previous contracts, grants and cooperative agreements
- Charts, such as management structure/organizational chart(s), including the structure of any consortium, joint venture(s) or partnership(s)

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section V.

The Technical Proposal shall include the information set forth below.

1. **Brief Executive Summary**

2. **Technical Approach**

The program description covers activities that will be funded under the Leader Award. The technical application must address the program description and objectives in Section I of this document.

Applicants will describe how they propose to achieve the overall strategic objective of this agreement —**Highest-quality information, knowledge, and best practices for improved methodologies in Title II food- assisted food security and food aid commodity program performance identified, established, shared and adapted through individual, collective, and/or formalized knowledge management, skills training and information dissemination activities.**— by addressing the following: (1) the Project Results; (2) the challenges; and (3) the cross-cutting issues all found below. Applicants will also describe how they will demonstrate global leadership to accomplish the overall strategic objective.

The application must address the following:

A. Strategic Objective of the Project and Overall Approach

Highest-quality information, knowledge, and best practices for improved methodologies in Title II food-assisted food security and food aid commodity program performance identified, established, shared and adapted through individual, collective, and/or formalized knowledge management, skills training and information dissemination activities

Applicants shall describe:

- Their vision for TOPS and approach to knowledge management, skills training and information dissemination as a mechanism for improving the efficiency and effectiveness of FFP food aid commodity programs in developing countries
- The interrelationship of the strategic objective, project results, challenges, and cross-cutting issues
- Their approach to serving the needs of both global and local audiences

B. Statement of the Expected Results

Project Result 1: Knowledge and skill needs of audiences identified.

Applicants shall describe:

- Principal activities to be implemented and steps to be taken to identify the knowledge and skill needs of audiences and to involve them in the process of implementation

- Barriers that could hinder progress and suggested solutions
- Their overarching strategy for facilitating communication with and generating feedback from audiences
- The processes to be used to engage and coordinate with USAID cooperating agencies (CAs), host-country programs, and other donors, foundations and professional societies

Project Result 2: Reliable, high-quality information synthesized, produced and delivered in user-friendly, appropriate formats and venues.

Applicants shall describe:

- Principal activities to be implemented and steps to be taken to collect and synthesize state-of-the-art, evidence-based technical information and knowledge and best practices that meet audience needs
- Barriers that could hinder progress and suggested solutions
- Their approach to creating content that can be adapted for different audiences and country contexts
- Their strategy for transferring skills to Title II partners

Project Result 3: Effective and appropriate information and skill delivery systems/applications used.

Applicants shall describe:

- Principal activities to be implemented, including cost-containment strategies associated with the activities
- Barriers that could hinder progress and suggested solutions
- How the applicant will exploit innovations in training, information and communication technology
- Their approach for reaching audiences with and without access to computers or other digital technology
- Their strategy for raising awareness of the project's products and services and tracking use/adaption/adoption of products and services accordingly

Project Result 4: Information, skill and knowledge exchange forums supported and expanded.

Applicants shall describe:

- Principal activities to be implemented
- Barriers that could hinder progress and suggested solutions
- Strategies and technologies to be employed to exchange ideas, practices and services, communicate, and form partnerships to create solutions and promote sustainable changes in practices.

C. Challenges

For each challenge listed below, applicants shall describe the approaches and principal activities to be implemented to tackle the challenge, and propose solutions that can mitigate the impact such challenges could have on the project's progress.

- Collaborate with USAID cooperating agencies, host-country programs, and other donors, foundations, professional associations and others
- Distill stakeholder needs down to those within the manageable interest of the project
- Market TOPS products and services across a broad spectrum of primary and intermediary audiences and advisors
- Prepare content understandable to audiences with limited knowledge of English

D. Project Monitoring and Evaluation

- Monitor results
- Report requirements

Applicants shall provide a proposed performance management plan for TOPS that includes the year one through year 5 targets and indicators that will be used to assess the strategic objective and project results. Also describe how the project (1) will measure the effectiveness and efficiency of activities and (2) will measure which products are used, with or without adaptation. Applicants shall identify the approximate dates for data collection, the method, type, and source of information to be collected.

3. **Management Approach**

USAID's intent is to have a sufficient but small core of full-time project staff responsible for planning, implementing and assessing activities. Applicants will propose a cohesive, efficient staffing plan with the optimal mix of skills and accountability necessary to manage the program. Applicants shall provide an organizational chart for implementation of TOPS, illustrating how responsibility and lines of authority will be managed. If the proposal includes multiple partners, applicants will describe how the comparative advantages of each will be leveraged and coordinated and how costs associated with management of the partnerships will be contained. The management plan will also explain how TOPS proposes to interact with the FFP, Regional FFP Offices, Missions, in-country NGOs, academic institutions, and with both the headquarters and field offices of any Cooperating Agencies.

The management plan for TOPS will need to specify the management and administrative arrangements for overall implementation of the program including organizational structure, logistical support, personnel management, procurement arrangements for goods and services, developing and maintaining an Internet web portal, and the lines of authority between organizations and staff.

Applications shall include:

- The management and administrative arrangements for overall implementation of the program including organizational structure, procurement arrangements for goods and services, dissemination of publications and other key program resources;

- How finances will be managed;
- How personnel will be managed, including those from other organizations who are seconded to the project;
- Plans, including a timeline, for rapid start up of the project.

Similarly, applicants shall present realistic strategies or approaches for coordinating with non-USAID supported organizations, with foreign governments, and their development partners.

4. Personnel Qualifications

TOPS will have expertise in, or access to individuals with expertise in: Title II program management, knowledge management, monitoring and evaluation, natural resource management, behavior change communications, agriculture, nutrition/food technology and more in emergency and nonemergency food aid commodity programming.

The applicant shall propose five key personnel by name and position for Project Director, Knowledge Management Officer, Monitoring and Evaluation Officer, Agriculture Officer and Nutrition/Food Technology Officer. The project director will ensure technical and managerial oversight of the project. The positions are full-time. Each key personnel position requires USAID approval, as noted in the substantial involvement provision in Section II. The following descriptions highlight ideal attributes for candidates. Proposals will be evaluated on how well candidates fulfill these attributes overall, including the complementarities among the Project Director and other key personnel.

Project Director: The desired attributes of the Project Director are: a senior manager with demonstrated leadership abilities, at least 10-12 years experience leading, managing and implementing large international development and emergency projects using food aid commodities, communications/knowledge management experience, significant experience interacting with U.S. Government agencies, and an advanced degree (M.A., M.S., MPH, MPP, MPA, MBA, Ph.D., or M.D.) or at least 12 years of work experience.

Knowledge Management Officer: The desired attributes of the Knowledge Management Officer are an advanced degree at the Masters level and above (M.A., M.S., MPP, MPA, MBA, or Ph.D.) or at least 8-10 years of work experience, with a minimum of 5-7 years of experience in leading knowledge management and information dissemination activities for international development and emergency projects. An ideal candidate will also have some expertise in the application of information communication technology to knowledge management and information dissemination, as well as experience in monitoring and evaluation of such activities.

Monitoring and Evaluation Officer: The desired attributes of the Monitoring and Evaluation Officer are an advanced degree at the Masters level and above (M.A., M.S., MPP, MPA, MBA, or Ph.D.) or at least 8-10 years of work experience, with a minimum of 5-7 years of experience in leading monitoring and evaluation activities (including training and operations research) for international development and emergency projects, preferably related to food aid commodity programs. An ideal candidate will also have some expertise in the application of information technology to monitoring and evaluation activities to improve data collection and analysis along with reporting.

Agriculture Officer: The desired attributes of the Agriculture Officer are an advanced degree at the Masters level and above (M.A., M.S., MPP, MPA, MBA, or Ph.D.) or at least 8-10 years of work experience, with a minimum of 5-7 years of experience in leading agriculture activities (including training) for international development and emergency projects, preferably complementary to food aid commodity programs. An ideal candidate will also have expertise in natural research management, behavior change methodologies and monitoring and evaluation of agriculture activities to improve data collection and analysis along with reporting.

Nutrition/Food Technology Officer: The desired attributes of the Nutrition/Food Technology Officer are an advanced degree at the Masters level and above (M.A., M.S., MPP, MPA, MBA, or Ph.D.) or at least 8-10 years of work experience, with a minimum of 5-7 years of experience in leading nutrition and/or food technology activities (including research or training) linked to international development and emergency projects, preferably involving maternal child health and nutrition and complementary to food aid commodity programs. An ideal candidate will also have expertise in behavior change communication, nutrition and/or food technology activities and monitoring and evaluation to improve data collection and analysis along with reporting.

Other Proposed Technical Personnel

Applicants are requested to develop a comprehensive staffing plan that will enable achievement of TOPS results and demonstrate an appropriate balance of knowledge, experience and skills. The staffing pattern will reflect the minimum number of highly experienced technical staff sufficient to manage and implement TOPS activities under this award. USAID's intent is to have a small core staff that will provide global leadership, identify state-of-the-art information and best practices, and provide technical assistance to international, local and host country counterparts. Applicants will propose the optimal mix of technical personnel considered necessary for global leadership. The staffing level and pattern may be modified over time if needed to provide effective support to field programs and to support other areas of technical work as they evolve.

The staff collectively will have extensive experience across the following areas essential for the success of the TOPS:

- behavior change communication
- knowledge synthesis
- information, communication technology
- marketing
- operations research
- monitoring and evaluation
- agriculture, i.e., soil science, ecology, irrigation, animal husbandry, agronomy, etc.
- natural resource management
- maternal child health and nutrition
- HIV/AIDS
- logistics and food aid commodity management
- technical and professional writing and research
- grants management
- administrative and financial support

It is important that a nucleus of the staff have extensive international development, food aid and emergency program experience.

The section on personnel capability in the main body of the application will specify the number of full-time staff of TOPS and include brief statements of major duties, experience, and academic background. In the Appendices (which are beyond the 25-page limit), please provide:

- A roster of all senior non-key staff and three non-U.S.-based experts who are likely to assist with program activities on an as-needed basis for the initial two-year period;
- Resumes and letters of intent of key personnel and full-time senior program staff to participate for at least an initial two-year period. Resumes for key personnel, other senior program staff and any long-term professional staff/advisors will be limited to 2 pages in length; and

- A matrix providing information on the collective attributes of the key personnel, senior program staff, three non-U.S.-based experts, and other relevant staff both full and part-time.

Applicants are invited to propose and justify an alternative staffing structure, including a different configuration of key staff positions, if they feel that a different structure is more conducive to achieving the desired project results.

5. Organizational Past Performance, Institutional Capability and Cost Share

Organizational Past Performance: The applicant shall provide past performance references for itself and any team member(s) or partner(s) anticipated to perform at least 20% of the program activities.

Include in the main body of the application a minimum of three (3) past performance examples. In the Appendices, the applicant shall provide references that can validate that the work was accomplished for each past performance example. The examples must be for the past five (5) years for current public or private sector type awards for efforts similar to this requirement (i.e., examples must be where the partner provided a significant contribution to the overall objective). The applicant(s) should identify the program activities as they relate to Section I - Program Description. The reference information shall include the location, current telephone number(s), e-mail addresses, point(s) of contact, award number, dollar value, and brief description of work performed. In addition, applicant(s) must demonstrate:

- The ability to provide or acquire technical expertise in the highest quality of information, knowledge, skills and best practices for FFP food aid commodity programs synthesized and made accessible to multiple audiences;
- The ability to form strong partnerships with a range of institutions/organizations in both the U.S. and host countries tied to achieving best practices in food aid program methodologies;
- The degree to which the applicant is reported to have been effective, efficient, capable, reasonable and cooperative; and
- Whether the applicant conformed to the terms and conditions of the contract/agreement/grant application; and client satisfaction.

Institutional Capability: Applicants shall describe their institutional capability and show that they have the array of skills needed to effectively address the issues within the scope of TOPS and can produce results and innovations in the highest quality of information, knowledge, and best practices for FFP food aid commodity programs synthesized and made accessible to multiple audiences. Applicants shall demonstrate their institutional ability to plan, implement, and support complex programming and the range of activities outlined in the RFA.

Organizations lacking relevant past performance history shall be given a “neutral” past performance rating that neither rewards nor penalizes those applicants.

Cost Share: At a minimum the cost share requirement for the Leader Award is 5 percent. Applicants shall be evaluated on the effectiveness, cost efficiency, and matching resources that the leader award and its partners bring to the implementation of the Leader Award. **Applications that do not meet at least the minimum cost-share requirement are not eligible for award consideration.** See Section III for additional information.

6. Appendices

Applicants should include resumes, letters of intent, letters of support, e.g., letter(s) of program support from a local government; letter(s) from a partnering organization expressing their intent to engage in a partnership, or a letter from a donor making a funding commitment, as well as past performance references.

C. COST/BUSINESS APPLICATION FORMAT

The cost/business application must be completely separate from the technical application.

The following sections describe the documentation that applicants must submit to USAID. [There is no page limit for the cost application.]

1. **Budget**

The evaluation of the cost/business application will focus on a cost realism analysis. The cost/business evaluation of submitted applications will verify the Applicant's understanding of the requirement, and assess the degree to which the costs included in the cost/business application accurately reflect the work effort included in the technical application.

Applicants must include a detailed five-year budget with accompanying budget narratives for the **Leader Award only**, which provides in detail the total costs for implementation of the program the applicant is proposing. The information from the detailed budget must be then included on the Standard Form 424, which can be downloaded from the following links <http://www.usaid.gov/forms/sf424.pdf> (Standard Form 424). The Applicant should submit the cost/business application on a CD ROM, formatted in Word 2003 and Excel 2003.

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicants including: identification of the Applicant with which USAID will treat for purposes of Agreement administration; identity of the Applicant that will have accounting responsibility; how Agreement effort will be allocated; and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

Over the course of the Agreement, in addition to USAID funds, Applicants are required to contribute from their other sources, at least 5 percent in cost share of the amount obligated by USAID for the implementation of this program, over the life of the project. Contributions can be either cash or in-kind and can include contributions from the US NGO, local counterpart organizations, project clients, and other donors (not other USG funding sources). Information regarding the proposed cost-share should be included in the SF 424 as indicated on the documents. The cost-share should be discussed in the budget narratives to the extent necessary to realistically access these sources and funds and the feasibility of the cost-sharing plan. Applications that do not meet the cost-share requirement are not eligible for award consideration. It should be noted that there is no separate/additional evaluation criteria category for cost share because cost-share is included within cost-effectiveness.

Additionally, if an Applicant proposes a higher cost share, this may be considered with the “cost effectiveness” evaluation. If the cost share is less than 5 percent, then the proposal shall not be reviewed and will be deemed non-responsive.

To support the proposed costs, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following provides guidance on what is needed.

- a. The breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, regional, and/or country offices; project management and administrative costs will be shared equitably across all funding sources.
- b. The breakdown of all costs according to each partner organization involved in the program.
- c. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
- d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement.
- e. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.
- f. Procurement plan for commodities (if applicable).

The cost application should contain the following budget categories:

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

2. **A current Negotiated Indirect Cost Rate Agreement (NICRA)**

If applicable, the Applicant should support any proposed indirect cost rate with a letter from its cognizant U.S. Government agency approving its indirect cost rates or a current NICRA with its cognizant U.S. Government agency.

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

- a) Copies of the Applicant's financial reports for the previous three-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- b) Projected budget, cash flow and organizational charts; and
- c) A copy of the organization's accounting manual.

3. A Copy of Certificate of Compliance

If the Applicant's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA), the Applicant should submit a copy of the certification.

4. All Other Required Certifications and Representations

Additionally, the Applicant must submit the following required certifications and representations:

- a) SF-424: The cost/business application must be submitted using the SF-424 series, which includes:
 - SF-424, Application for Federal Assistance
 - SF-424A, Budget Information - Nonconstruction Programs, and
 - SF-424B, Assurances - Nonconstruction Programs

These Standard Forms can be found under Section VII. A link to these forms can also be found at http://www.grants.gov/agencies/approved_standard_forms.jsp.

- b) Pre-Award Certifications, Assurances and Other Statements of the Recipient:

In addition to the certifications that are included in the SF 424, organizations must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found in Annexes A and E to this RFA.

- (i) A signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This certification applies to non-U.S. organizations, and also if any part of the program will be undertaken in the United States);
- (ii) A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see 22 C.F.R. 227);
- (iii) A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries, as detailed in ADS 206.3.10;
- (iv) A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- (v) When applicable, a signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking" (see ADS 206);

(vi) When applicable, a signed copy of “Participant Certification Narcotics Offenses and Drug Trafficking” (See ADS 206);

(vii) Survey on Ensuring Equal Opportunity for Applicants; and

(viii) All Applicants must provide a Data Universal Numbering System (DUNS) Number.

6. Evidence of Responsibility

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

- a) Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
- b) Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
- c) 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;
- d) Has a satisfactory record of integrity and business ethics; and
- e) Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

7. New Recipients

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 procurement/management handbook relating to personnel and travel policies.

8. Acknowledgement of Amendments to the RFA

Applicants shall acknowledge receipt of any amendment(s) to this RFA by signing and returning the amendment at the time of submission of the application.

D. COST SHARE

Cost sharing is mandatory under this RFA. Prospective Applicants must demonstrate means to achieve greater cost effectiveness in their applications through alternate sources of funding and/or to continue the activities after the USAID assistance has ended. Cost sharing will be an important element in the cost application which will be viewed in relation to the soundness of proposed business management and cost effectiveness of the program activities. Guidance on cost sharing or matching can be found under 22 CFR 226.23. Cost sharing must be verifiable from the Recipient’s records, and can be audited. Such funds may be contributed from the Recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. For consortium or partner type relationships, the cost share may be distributed amongst the various partners; but ultimately the organization that is awarded this Leader Award is responsible for meeting the proposed cost share. The cost share, whether it be in-kind or dollars, must have a direct impact on this

program. (Under individual Associate Awards, the need for cost-sharing will be individually determined by each Mission, Bureau or Office for their respective programs.)

E. SPECIAL CONSIDERATIONS

1. Gender Equality

In accordance with USAID policies, activities will address gender issues as appropriate, and promote gender equality as a goal of program activities. The Recipient should address gender concerns in a fundamental way. USAID encourages all Applicants to provide additional or alternative recommendations on how to address gender equality in this program.

2. Unnecessary Elaborate Application

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the prospective Recipient's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

3. Implementation of E.O. 13224 – Executive Order on Terrorist Financing (March 2002)

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

4. USAID Disability Policy – Assistance (December 2004)

- a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
- b) USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this Grant or Cooperative Agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

5. Environmental Compliance

- a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of

USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Applicant environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

- b) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
- c) No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

F. MARKING UNDER ASSISTANCE INSTRUMENTS

1. Branding Strategy – Assistance (December 2005)

(a) Definitions

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

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

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

(b) Submission.

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

(c) Submission Requirements

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

(i) Positioning

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

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

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

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

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

(ii) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers. What communications or program materials will be used to explain or market the program to beneficiaries?*

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth.

Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

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

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

(iii) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) **Award Criteria.** The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and from technical experts while performing the evaluation.

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

A **Presumptive Exception** exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are: Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and

radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h) (1)).

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

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

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

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

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

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

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

(c) **Submission Requirements.**

The Marking Plan will include the following:

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

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

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

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

(ii) A table specifying:

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

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

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

(iii) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and (ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

(3) The Agreement Officer will review the request for adequacy and reasonableness.

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

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

3. Marking under USAID-Funded Assistance Instruments (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

- (i) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub-award with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.
- (ii) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (iii) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (iv) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people’s support.
- (v) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (vi) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government’s identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (vii) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(viii) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(ix) Sub-recipients. To ensure that the marking requirements “flow down” to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows: *“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, sub-recipient’s, other donor’s or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity.”*

(x) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer: *“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”*

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

(c) Implementation of marking requirements.

(i) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(ii) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within **N/A** after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

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

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

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

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

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

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

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

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

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

(d) Waivers.

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

(ii) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

(iii) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(iv) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(v) Determinations regarding waiver requests are subject to appeal to the Principal Officer’s Cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer’s waiver determination to the Cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management)

where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

SECTION V – SELECTION CRITERIA

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Cost applications will be evaluated for general **reasonableness, allowability, and allocability**.

Award will be made to that responsible Applicant whose application offers the **greatest value** to the U.S. Government, considering the requirements of this RFA and the selection criteria contained herein. USAID reserves the right to fund any or none of the applications submitted. USAID anticipates awarding one Leader with Associate Award (Cooperative Agreement) under this RFA.

These criteria serve to: (1) identify the significant areas that Applicants should address in their applications, and (2) set a 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.

The Government intends to evaluate applications and award an agreement without discussions with Applicants. However, the Government reserves the right to conduct discussions if later determined necessary by the Agreement Officer. Therefore, the initial application should contain the Applicant's best terms from a cost and technical standpoint.

A. TECHNICAL APPLICATION

Evaluation Criteria (Total: 100 points)

1. TECHNICAL UNDERSTANDING AND APPROACH

Total: 55 points

Overall approach

15 points

The Technical Approach demonstrates overall merit (clarity, analytical depth, state-of-the-art technical knowledge, and responsiveness) and feasibility of approach and strategies to achieve the project's strategic objective and project results; demonstrates a thorough understanding of the interrelationships of the strategic objective, project results, challenges, and cross-cutting issues; and includes a presentation of feasible approaches for increasing the effectiveness and efficiency of Title II food aid commodity program performance, especially the identification, establishment, sharing and adaptation of improved methodologies and best practices through individual, collective, and/or formalized knowledge management, skills training, operations research and information dissemination activities. Finally, the approach demonstrates a clear understanding of state-of-the-art knowledge and practices collection, synthesis, production, training, dissemination, monitoring, and evaluation.

Project Result 1

5 points

The application provides feasible and creative activities to identify the needs of primary and intermediary audiences for information and training on Title II food aid commodity programs, and presents viable strategies to incorporate developing-country audiences in the process of developing the content, –of training and materials, as well as their feedback on TOPS products and services. The application demonstrates a thorough understanding of the challenges involved in working with intermediary audiences, specifies intermediary audiences with whom the recipient will develop relationships and explains how the relationship will be maintained.

Project Result 2

5 points

The application provides feasible, timely and innovative technical activities to support Title II food aid commodity program performance efficiency and effectiveness. The application demonstrates a thorough understanding of the challenges involved in using food aid commodities in multi-sectoral programs. The applicant specifies how TOPS will prioritize topics and activities based on suggestions from funders, advisors and audiences. TOPS presents a feasible timeline, workflow and level of effort for activities.

Project Result 3**5 points**

The application provides feasible and creative technical activities to disseminate products and services to primary and intermediary audiences and to implement and expand information and skills exchange forums; provides feasible strategies to stay abreast of innovations in technology and, demonstrates an understanding of barriers to disseminating products and services in developing countries and proposes appropriate ways to overcome these challenges.

Challenges**5 points**

The application demonstrates an understanding of the challenges to TOPS programming, describes how progress might be hindered, and proposes technically sound and economically feasible ways to overcome each challenge that are both creative and advance the TOPS agenda.

Project Monitoring and Evaluation**20 points**

The application provides a complete and feasible proposed performance monitoring and evaluation plan to monitor project progress, output, and impact including targets and indicators for years 1 through 5. The proposed M&E targets and indicators for the strategic objective and project results 1-3 are appropriate, challenging, and achievable. Plans to measure (1) effectiveness and efficiency of core-funded activities (including participants' knowledge pre-, post-, and at a set time following training) and (2) which products are used, with or without adaptation, are appropriate and feasible.

2. STAFFING AND KEY PERSONNEL**25 points****Key Personnel****15 points**

- Proposed key personnel have requisite experience and expertise and meet or exceed requirements specified in Section IV. They have breadth and depth in technical expertise and experience in leadership, management, design and implementation of complex programs.
- Individually and collectively, proposed key personnel show evidence of strong leadership skills and ability to build collaborative relationships.

(Expertise and attributes will be verified in part on past performance and references provided in appendices, and may be verified through interviews, at the discretion of the technical review panel.)

Overall Staffing and Personnel Attributes**10 points**

- Proposed key and other technical personnel collectively possess the attributes required as specified in Section IV.
- Proposed technical specialists have technical and operational experience in the subject areas for which they are proposed.
- The technical areas needed to achieve the main results of this activity are covered by proposed technical specialists.
- The overall staffing pattern reflects the relative emphasis placed on the project results and objectives.

3. MANAGEMENT APPROACH**10 points****Program, personnel, and resource management**

- The following aspects of the proposal are well thought out and appropriate for this project:

- The proposed management and administrative arrangements for implementation of the program including organizational structure, staffing pattern, and decision-making authority as presented in an organizational chart;
 - Procurement of goods and services; and
 - Dissemination of publications.
- Application shows feasible and cost-effective approaches for interaction with USAID/Washington (AID/W), Regional Offices, Missions, Cooperating Agencies and in-country partners.
 - Plans for rapid start-up of the project are feasible.
 - The staffing pattern and the number and type of positions proposed are cohesive, efficient, and responsive to the technical requirements and principal challenges.
 - The proposed approach for financial management includes: how applicant will contain costs; how financial disbursement to in-country partners – if any – will be managed; and how the applicant will assure timely and accurate financial reporting of multiple funding streams.

4. INSTITUTIONAL CAPABILITY/PAST PERFORMANCE 10 points

The application demonstrates the institutional capability to plan, implement, and support complex programming and the range of activities outlined in the RFA; to produce results and innovations in knowledge management; to work with multiple partners and to report results to FFP, and Missions if appropriate. It shows the capacity of the proposed applicant to manage the proposed institutional relationships including the ability to identify subcontractors and sub-grantees, if necessary; and to minimize non-productive costs, such as those associated with managing partnerships and setting up systems. The application demonstrates the past performance capability of the Applicant to undertake a similar or related project, in both complexity and diversity, as covered in the RFA. Applicant(s) will be evaluated on past performance over the past 5 years.

Summary:

Technical Understanding and Approach	55 points
Staffing and Key Personnel	25 points
Management Approach	10 points
<u>Institutional Capability/Past Performance</u>	<u>10 points</u>
TOTAL	100 points

B. COST APPLICATION

The cost/business application has not been assigned a weight. After review of technical applications, the cost applications of the Applicants under consideration for award will be evaluated for general **reasonableness, allowability, allocability, and cost realism**. If deemed necessary, written and/or oral discussions may be conducted. Discussions should not be considered as a determination of selection decision.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

Authority to Obligate the Government

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds and notice of award signed by the Agreement Officer is the authorizing document. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

SECTION VII – OTHER INFORMATION - REFERENCES

USAID reserves the right to fund any or none of the applications submitted in response to this RFA.

Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- 22 CFR 226
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- OMB Circular A-122
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>
- OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ADS Series 300 Acquisition and Assistance
<http://www.usaid.gov/pubs/ads/>
- SF-424 Downloads
http://www.grants.gov/agencies/aapproved_standard_forms.jsp

ANNEX A
REPRESENTATIONS AND CERTIFICATIONS

Certifications, Assurances and Other Statements of the Recipient (May 2006)

NOTE: [1] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement." [2] The recipient must obtain from each identified sub-grantee and (sub) contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The Recipient should reproduce additional copies as necessary.

PART I

CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

3. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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.

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

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

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

Signature _____ Date _____
Name _____
Organization _____

KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered

Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above):

As applicable:

RFA/APS No.: _____

Application: _____

Date of Application: _____

Name of Recipient: _____

Typed Name and Title: _____

Signature: _____

Date: _____

PART II

OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

<u>Name</u>	<u>Title</u>	<u>Telephone Number</u>	<u>Facsimile Number</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

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

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

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

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

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the internet home page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. TYPE OF ORGANIZATION

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

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

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

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

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

6. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

7. PROCUREMENT INFORMATION

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

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

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

<u>Type/Description (Generic)</u>	<u>Quantity</u> _____	<u>Estimated Unit Cost</u>

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

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

<u>Type/Description</u> <u>(Generic)</u>	<u>Estimated</u> <u>Quantity</u>	<u>Probable</u> <u>Unit Cost</u>	<u>Probable</u> <u>Intended Use</u>	<u>Source</u>	<u>Origin</u>
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

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

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>	<u>Proposed Disposition</u>

END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF RECIPIENT

Name and Title: _____

Name of Organization: _____

Date: _____

ANNEX B

**MANDATORY STANDARD PROVISIONS FOR U.S.
NONGOVERNMENTAL RECIPIENTS**

PLEASE REFER TO FOLLOWING WEBSITE:

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

ANNEX C

**REQUIRED AS APPLICABLE STANDARD PROVISIONS
FOR U.S., NONGOVERNMENTAL RECIPIENTS**

PLEASE REFER TO FOLLOWING WEBSITE:

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

**ANNEX D
PAST PERFORMANCE INFORMATION**

PERFORMANCE REPORT - SHORT FORM
PART I: Award Information (to be completed by Prime)
1. Name of Awarding Entity:
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if sub-agreement, sub-agreement value)
5. Problems: (if problems encountered on this award, explain corrective action taken)
6. Contacts: (Name, Telephone Number and E-mail address)
6.a. Agreement Officer:
6.b. Technical Officer (CTO):
6.c. Other:
7. Recipient:
8. Title/Brief Description of Product/Service Provided:
9. Information Provided in Response to RFP No. :
PART II: Performance Assessment (to be completed by Agency)
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 the sub-agreement, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall contract. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.]

ANNEX E
FREIGHT DELIVERY REQUEST

TO : RRBITC Loading Dock Manager
Federal Protective Service

FROM: James Taylor, M/AS/FMD, Room B2.06D
Fax No.: 202-216-3378

FREIGHT DELIVERY COMPANY INFORMATION			
Name of Freight Company making delivery	Phone No.		Date of Arrival
Freight Co. Contact Person	Fax No.		Estimated Time of Arrival
Driver's Name	Driver's License No. & State		Date of Birth
Alternate Driver's Name	Driver's License No. & State		Date of Birth
Vehicle Description (i.e., tractor trailer, etc)	Type	Make	Tag No.
	Length	Model	State
Description of material being delivered			
OFFICE/BUREAU REQUESTING DELIVERY			
Office/Bureau Contact Person	Phone No.		
	Fax No.		
<p>Deliveries to the Ronald Reagan Building, loading docks require 72 hour notice.</p> <p>All deliveries are subject to an off-site security inspection by the Federal Protective Service, located at the Washington Navy Yard, 3rd and M Streets SE, Washington DC 20407, prior to delivery to the RRB Loading Docks. All dock deliveries use the 14th Street South Entrance.</p>			
PRIVACY ACT STATEMENT			
<p>The following statement is required by the Privacy Act of 1974 (5 U.S.C. 522). Due to the events of September 11, 2001, security at the federal building housing USAID has been significantly increased. As such, it is necessary that Freight Companies planning to deliver goods and materials be aware of these additional security requirements. Failure to provide full information could result in the hampering of the delivery process. The information on this form is solely used for security purposes. No one other than the M/AS/FMD, ITC and FPS will have access to this form and information.</p>			

AID 519-1 (04/05)