



USAID | **ASIA**
FROM THE AMERICAN PEOPLE

Issuance Date: April 29, 2011
Closing Date: June 14, 2011
Closing Time: 4:00 pm local Bangkok, Thailand time

Subject: USAID-Burma-486-11-031
Humanitarian Assistance – Central Burma

The United States Agency for International Development (USAID), Regional Development Mission in Asia (RDMA), Governance and Vulnerable Populations Office (GVP) is seeking applications from (U.S. and/or non-U.S.) non-governmental organizations (NGOs) and Public International Organizations (PIOs) to implement humanitarian assistance activities to people in Burma, as described in Section C of this Request for Application (RFA). USAID/RDMA is issuing a request for applications (RFA) for a Cooperative Agreement(s) for implementation of the Humanitarian Assistance – Central Burma program. Please refer to the Program Description (RFA Section C) for a complete statement of goals and expected results. The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

Subject to the availability of funds, USAID/RDMA plans to award up to three cooperative agreements. The total estimated amount is approximately \$55 million for a program not to exceed five years (from on or about September 1, 2011 – August 31, 2016). USAID reserves the right to fund any, a portion of, or none of the applications submitted. USAID may also exercise the discretion to make awards to more than one organization.

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 program and are in accordance with applicable cost standards (22 CFR 226, plus OMB Circular A-122 for non-profit organizations and OMB Circular A-21 for universities, and the Federal Acquisition Regulation Part 31 for for-profit organizations), may be paid under the award.

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

1. Section A - Application Format;
2. Section B - Program Description;
3. Section C - Selection Criteria;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Applicant

To be eligible for award, the Applicant must provide all required information in its application, including the requirements found in any attachments to this www.Grants.gov opportunity. Applicants must submit the full application package by one of the methods indicated in Section A of this RFA.

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".

Any questions concerning this RFA shall be submitted in writing to Paul Seong, Acquisition Specialist, via email to aseong@usaid.gov and Ms. Maria Rosario Arenas, Senior Acquisition Specialist, via email to marenas@usaid.gov and copied to Mr. Thomas Stephens at tstephens@usaid.gov by no later than May 17, 2011, 4:00 pm Bangkok time. If you decide to submit an application, it 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.

The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov on the World Wide Web (www) to allow for electronic submission of applications. Applicants may upload applications to www.grants.gov; however, hard copy submissions are still required by USAID/RDMA. This RFA and any future amendments can be downloaded from this website www.grants.gov. It is the responsibility of the Recipient of the application document to ensure that it has been received from www.grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Applicants must also submit their applications by e-mail attachment formatted in Microsoft Word (up to 2 MB limit per email), with hard copies by the due date. Important: please see Section A.1.g of the RFA for detailed instructions regarding submission of applications via email. Applications and modifications thereof shall be submitted with the name and address of the Applicant and the RFA number (referenced above) inscribed thereon, via email, to aseong@usaid.gov and marenas@usaid.gov and copied to tstephens@usaid.gov.

Applicants shall confirm with Paul Seong/Maria Rosario Arenas that their electronic submissions (either via grants.gov or via email) were successfully received by the required due date. In addition to the submission of applications via email or www.grants.gov, an original and four (4) hard copies of the technical applications, and an original and one hard copy of the cost proposals, shall be sent to:

Thomas M. Stephens
Regional Office of Procurement
US Embassy Thailand
Box 47 (USAID)
APO, AP 96546

Or

Thomas M. Stephens
USAID/Regional Development Mission Asia
Regional Office of Procurement
Athenee Tower, 25th Floor, Room 2465
63 Wireless Road, Lumpini, Pathumwan
Bangkok 10330, Thailand

Hard copies of submissions must arrive by the due date. It is recommended that Applicants use courier service instead of international mail for the hard copies. Applications will be accepted for consideration as long as they arrive in Bangkok, Thailand by the time stipulated. See RFA Section A.1.b regarding late applications.

Applicants are requested to submit the technical and cost portions of their applications in separate volumes so that they may be reviewed separately. Award will be made to that responsible Applicant(s) whose application(s) best meets the requirements of this RFA and the selection criteria contained herein.

Faxed proposals are not acceptable.

Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement(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, and all preparation and submission costs are at the Applicant's expense.

In the event of any inconsistency between the sections comprising this RFA, it shall be resolved by the following order of precedence:

- (a) Section C - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) Section B - The Program Description;
- (d) This Cover Letter.

Applicants should take into account the expected delivery time required, and are responsible to ensure that the electronic copies are sent to the right email address and the hard copies of the proposals are received at USAID/RDMA, (and not at another location) by the due date and time specified above.

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

Thank you for your interest in USAID programs and activities.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Thomas Stephens', is written over the typed name and title. The signature is stylized and somewhat illegible due to overlapping lines.

Thomas Stephens
Regional Agreement Officer
USAID/RDMA, Bangkok

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SECTION A – AGREEMENT APPLICATION FORMAT

I. PREPARATION GUIDELINES

U.S. or non-U.S. non-governmental organizations (NGOs), Public International Organizations (PIOs) and/or consortia are eligible to submit applications. For the purposes of this solicitation, NGOs include any incorporated entity, either non-profit or for-profit, other than a governmental organization.

- a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications must be submitted in two separate parts: (a) technical and (b) cost or business application. An original and four (4) hard copies of the technical application and an original and one (1) hard copy of the cost application must be submitted in addition to the electronic submission, as described in the cover letter of this RFA.
- b. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. USAID may review and consider late or incomplete applications if: (a) USAID's treatment of the material is consistent with the terms of the RFA, (b) all late applications are treated the same, (c) they are evaluated before any agreements are awarded under the RFA and (d) the Agreement Officer consents in writing to the review of late or incomplete applications.
- c. Technical applications must be specific, complete, and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted. Applications must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. Applications must take into account the technical evaluation criteria found in Section B.
- d. Explanations to Prospective Recipients: Any prospective Applicant desiring an explanation or interpretation of this RFA must request it in writing to the email addresses set forth in the RFA cover letter. The questions and answers (Q&A) will be posted as an amendment to the RFA on www.grants.gov. **The deadline for receipt of questions is May 17, 2011, 4:00 PM, local Bangkok time.** Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective grantee concerning this RFA will also be furnished to all other prospective grantees as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective grantees.
- e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes on hard copies must be initialed by the person signing the application. To facilitate the competitive review of the applications, applications must conform to the format prescribed below.
- f. [Reserved].
- g. Submission of Applications Electronically (**Important**):
 1. Preferred software for electronic submissions: Microsoft Word (for narrative text) or Excel (for tables). PDF files are acceptable. Please be advised that the selected Applicant will be required to submit their budget breakdown in Excel. The excel sheets should be not be password protected.

2. After you have sent your proposals electronically, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or make note in the filename if submitted via grants.gov that it is a "corrected" submission. Each Applicant is responsible for their submissions.
3. Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email.
4. Your organization must appoint one person to send in the email submissions who will serve as the contact person for future communications regarding this RFA.
5. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost proposal is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Proposal, Part 1 of 2".

USAID's preference is that the technical proposal and the cost proposal be submitted as single email attachments, e.g., that you consolidate the various parts of a technical proposal into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling submitted electronic proposals if no instructions are provided or if instructions are unclear.

- h. The hard copies of applications and modifications thereof must be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the Applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages.
- i. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.
- j. Preparation of Applications:
 1. Applicants must review, understand, and comply with all aspects of this RFA. Failure to do so may be considered as being non-responsive and may be evaluated accordingly.
 2. Each Applicant must furnish the information required by this RFA. On the hard copies of applications, the Applicant must sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
 3. Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes must:

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

"This application includes data that must not be disclosed outside the U.S. Government and must 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 must have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages ____."; and

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

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

II. TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed activity. The application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals and objectives of this project. Therefore, it should be specific, complete and concise.

The Technical Application narrative section must not exceed **25 single-spaced typed pages** (12 point Times New Roman Font and a minimum of 1 inch margins all around). Pages should be paginated at the bottom.

Technical applications must consist of the following:

- Title Page
- Table of Contents, listing all page numbers and attachments
- Executive Summary
- Narrative
 - Program Strategy and Technical Approach
 - Management Approach and Staffing (include partnership and sub-award arrangements where applicable)
 - Institutional Capabilities
- Annexes:
 - Performance Management Plan
 - Relevant Past Performance Information
 - Resumes for Key Personnel and long-term professional staff, proposed position descriptions and signed letters of commitment

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the evaluation panel and will not be evaluated. Letters of support are not requested and will not be provided to the evaluation panel.

A. Program Strategy, Approach and Technical Understanding of Program Description

The program strategy and technical approach must demonstrate feasibility, innovativeness and cost-effectiveness to achieve the program goals and the specific objectives of the program. Specifically, the applicant must describe the following: (please note that the below list is not listed in any order of importance):

Technical Leadership in Key Components of the Program

Effective models proposed to address the key components of the Program Description (see Section B of this RFA) in the areas of humanitarian assistance, specifically in the three sectors: livelihoods/food security, maternal and child health and water/sanitation and hygiene, including:

- Innovativeness, pragmatism, organizational knowledge, capability, expertise and soundness in the overall strategy and approach in response considerations in Section B;
- Demonstration of logical linkages between the required technical components in order to meet the humanitarian needs and impacts on the ground with possibility of replication of success;

- Five-year implementation plan including the illustrative first and second year work plans.
- Strength of illustrative work plans with implementation schedule to ensure a smooth and effective launch of program implementation, i.e. strength of the analysis of potential obstacles, risks and problems that could be encountered during program implementation, and feasibility of the proposed solutions for addressing the identified problems.

The Applicants will also be assessed on the overall quality of the Performance Management Plan (PMP). This includes the identification of appropriate milestones and targets (including gender disaggregated targets); baseline data gathering efforts; and monitoring program outputs, outcomes, and results to achieve the proposed program objectives. Linkages of outcomes and outputs of program activities to the Assistance Objectives (AO), Result Framework and Intermediate Results must also be clearly defined. Applications must also define how the applicant will be held accountable to program participants and beneficiaries (see also Section B).

Proposed use of available resources within the implementing agencies, as well as bring in new resources from potential consortium members, where possible, to integrate and coordinate their multi-sectoral activities for broader community-level impact.

Adequately analyze, address and integrate gender consideration in planning, designing and implementing activities.

Methodology and Strategy

The Applicants must demonstrate:

- A clear and realistic strategy, approach and methodology, set of proposed activities, and a set of relevant indicators to achieve the required results within the timeframe of the project. The assumptions and hypotheses underlying the strategy must be clearly articulated.
- Implementation that is cost-effective, impactful, feasible in the operational environment and can arrest the decline of the vulnerable and poor in the communities.
- Consideration for a measured, phased approach to multi-sectoral interventions that is integrative and coherent.
- Strategy to maximize the use of available resources to achieve the greatest and most lasting results;
- Well developed and realistic description of how the implementation strategy will meet the humanitarian needs in ways which integrate inclusive and active community participation and decision-making.

B. Organizational Qualification (Management and Staffing)

The management approach must describe:

A monitoring and evaluation plan with demonstrated understanding of effective monitoring and evaluation techniques for measuring results and impacts that includes:

- Ability of the performance monitoring and evaluation plan to quantifiably measure program progress and results using program-specific indicators, including the activities of any sub-awards.
- Soundness of the methodologies for setting baselines and proposed indicators, and methods for collecting and analyzing data and measuring progress toward achieving objectives, with emphasis on results achieved and/or impact, rather than just “outputs” (i.e., number of people trained).

- The methodologies for achieving results, impact, improving performance, effectiveness, and clear demonstration of an understanding of best practices and lessons learned to date in the sector of humanitarian assistance.
- A monitoring and reporting system with clear program results, indicators and milestones.

The Applicants will propose a staffing pattern based on:

- Two key personnel, the Chief of Party and Deputy Chief of Party (or equivalent). Applicants may identify up to three additional key personnel with management responsibilities addressing the various project areas of their proposal. The applicant may consider the following overall technical skills and experience that personnel may require to effectively implement project activities. This, however, is only illustrative and the applicant may put together a team which it believes would best meet the accomplishment of project objectives and results. Depending on the focus and subject areas of the proposal, the Chief of Party, Deputy Chief of Party, or equivalent, should demonstrate that core technical staff possesses a breadth and depth of technical expertise, professional competence and relevant academic background in key areas of the proposal such as program management, monitoring, design and implementation. Skills and experience are demonstrated in a combination of the following: experience with US government or other international donor funded activities, strategic planning, information management, community participation management, and technical areas required in Section C., and the ability to provide effective guidance and oversight to technical members, short-term technical consultants, and consortium partners.
- The staffing pattern reflects the minimum number of highly experienced non-key personnel and technical staff sufficient to manage the range of activities needed and the optimal mix of technical personnel considered necessary to achieve results. Proposed staff members demonstrate expertise in humanitarian assistance, implementation, and evaluation and where applicable, scaling up of activities.
- Demonstration of team building and collaboration skills of key personnel, including the fostering of collaborative partnerships and linkages with stakeholder groups.
- Demonstrated Burmese language fluency skills for those staff in which language skills enable effective implementation of activities.

The Applicants must display a clear, concise, balanced management plan that ensures program effectiveness and efficiency, and addresses the following:

- Identification and description of partnerships, including potential synergies, relationships, common objectives, and plans for effective decision-making and management communications;
- Clear description of how the applicants will ensure that it will have the necessary technical expertise to implement the various components of the program;
- Demonstration of field presence and the capacity to implement and monitor activities on the ground;
- Thorough internal management plan including staffing, with clearly defined roles and responsibilities, organizational structure, and lines of communications;
- Potential to build local partnerships;
- Demonstration of the ability to address USAID communication and outreach requirements including annual reporting, success stories, case studies, etc.

C. Past Performance

Applicants must include the five (5) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization in the last three years involving programs similar to the program proposed in your application. Each applicant must provide past performance references for itself and each proposed sub-applicant. The past performance evaluation will focus on the applicant's record of complying with agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to agreement schedules, including administrative aspects of performance, history of reasonable and cooperative behavior and commitment and concern for the interest of the customer, and the competency of personnel who worked on the agreement.

Include the following for each award listed:

- Name of awarding organization or agency
- Address of awarding organization or agency
- Place of performance of services or program
- Award number
- Amount of award
- Term of award (start and end dates of services/program)
- Name, current telephone number, current fax number and e-mail address (if one is available) of a responsible technical representative of that organization or agency
- Brief description of the program

Applicants must also include the three (3) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by each major sub-grantee proposed. A major sub-grantee is one whose proposed cost exceeds 25% of the Applicant's total proposed cost. Include the same information as listed above.

USAID may contact references and use the past performance data, along with other information to determine the Applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

D. Environmental Assessment & Monitoring:

No activities proposed under this program are expected to have a significant impact on the environment, and all fall under one or more categorical exclusions outlined under 22 CFR §216.2(c)(2). Over the life of the program, most of the program funding will be dedicated to technical assistance. No installation or use of equipment is expected in the activities under this program. However please take note of the following:

1. 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. The applicant's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.
2. 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.
3. No activity funded under this award 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.”)

4. As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.

5. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

6. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

E. Marking Under Assistance Instruments

See Attachment 9 for the full text of the Branding and Marking provisions under Assistance Instruments.

F. Substantial Involvement

USAID considers collaboration with the Recipient crucial for the successful implementation of this project. Substantial involvement under the proposed award is expected to include the following (specific substantial involvement will be negotiated as part of the final award(s)):

1. Approval of the Recipient's Annual Implementation/Work Plans
2. Approval of Specified Key Personnel
3. Agency and Recipient Collaboration or Joint Participation to include:

(1) Approval of sub-awards or contracts in accordance with 22 CFR 226.25(c)(8),

(2) Approval of the recipient's monitoring and evaluation plans.

(3) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects.

All such activities must be included in the program description, negotiated in the budget, and made part of the award.

(4) Agency Authority to Immediately Halt a Construction Activity

G. OFAC License

While there are a number of statutory provisions affecting assistance for Burma, the assistance under this request may be provided notwithstanding those statutory provisions, as authorized by section 638(b)(2) of the FY 2008 Foreign Operations Appropriations Act. The assistance shall also be provided consistent with applicable Executive Orders (including EO 13047, 13310, 13448, 13464), OFAC Burmese Sanctions Regulations, licenses issued pursuant thereto, and applicable Department of Commerce Export Regulations. Current OFAC license no. BU 1847f is provided in Attachment 10 of this RFA.

H. Applicability of 22 CFR Part 226 (May 2005)

(a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to the award agreement will be applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with subrecipient monitoring procedures in accordance with OMB Circular A-133.

III. COST APPLICATION FORMAT

The Cost or Business Application must be submitted separately from the technical application. Certain documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility.

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

A. Include a budget with an accompanying budget narrative which provides in detail the total proposed costs for implementation of the program your organization is proposing. Detailed budget notes which explain the basis of estimate (cost realism and cost reasonableness) and supporting justification of all proposed budget line items must be included. A summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the grants.gov website at www.grants.gov.

- a) The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- b) The breakdown of all costs according to each partner organization (or sub-Recipient) 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 the financial and in-kind contributions of all organizations involved in implementing the expected Cooperative Agreement;
- e) Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement; and
- f) The procurement plan for commodities.
- g) Other instructions for preparation of proposed budgets:

(1) Indicate the name, annual salary, and expected level of effort of each person charged to the project. Provide resumes showing work experience and annual salary history for at least the three most recent years for major personnel.

(2) If not included in an indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employees, and explain the benefits included in the rate.

(3) The same individual information for consultants must be provided as for regular personnel.

(4) Allowances must be broken down by specific type and by person, and must be in accordance with the Applicant's policies.

(5) Travel, per diem and other transportation expenses must be detailed in your proposal to include number of international trips, expected itineraries, number of per diem days and per diem rates.

(6) Specify all equipment to be purchased and the expected geographic source.

(7) Financial Plans for all proposed sub-grants and subcontracts must have the same format and level of detail as those of the Applicant. Following the Applicant's detailed budget breakdown, detailed budget breakdowns for each sub-Recipients/(sub) contractor must be presented. Sub-Recipient/(sub) contractor budgets must not be intermingled. The first page must be a summary budget, following the same budget format and line items as are set forth above for the full term of the sub-agreement/subcontract. Detailed budget notes which explain

how the subs' proposed budget was reviewed and how a determination was made that it is fair and reasonable must be provided.

(8) Other direct costs such as supplies, communication costs, photocopying, visas, passports and other general costs must be separate cost line items.

B. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;

C. Required certifications and representations (as attached below); NOTE: Past Performance References requested in the certifications and representations should be attached to the technical proposal;

D. USAID endorses cost-sharing as an important principle in USAID-Recipient relationships. Applicants are encouraged to contribute cost share to increase overall program impact. Applicants must be aware that all cash contributions and non-Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles. Applicant cost share may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.

E. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency must also submit the following information:

1. 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;
2. Projected budget, cash flow and organizational chart; and
3. A copy of the organization's accounting manual.

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

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant, nongovernmental and governmental.
3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

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

H. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Procurement.

IV. AGREEMENT AWARD

1. The Government plans to award up to three cooperative agreements resulting from this RFA to the responsible Applicant(s) whose application conforming to this RFA offers the greatest value in terms of the selection criteria (see Section c of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
2. The Government may award a cooperative agreement on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application must contain the Applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more Applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one Applicant.
3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.
4. To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

V. AUTHORITY TO OBLIGATE THE GOVERNMENT

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

VI. GEOGRAPHIC CODE

The source and origin of procurements under this agreement will be subject to the Standard Provisions titled “USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (APRIL 1998)” and “Local Procurement.” In addition, a blanket waiver for local procurement has been approved by the USAID Administrator. Application of the waiver is included in the letter from the Agreement Officer as Attachment 8 to this RFA.

VII. U.S. EXECUTIVE ORDERS AND LAW REGARDING TERRORISM

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

VIII. FOREIGN GOVERNMENT DELEGATION TO INTERNATIONAL CONFERENCES

Funds in the agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" at <http://www.info.usaid.gov/pubs/ads/300/refindx3.htm> or as approved by the Agreement Officer.

IX. SALARY SUPPLEMENTS

Any payments by the Recipient to employees at any level of any foreign government must be subject to the USAID policy on salary supplements (dated April 1988 or as amended). If this issue arises during the period of the agreement, the Recipient must consult with USAID on any questions regarding the applicability of the policy.

X. UNSUCCESSFUL APPLICATIONS

Unsuccessful applications will not be returned to the Applicant.

XI. NON-FEDERAL AUDITS

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

SECTION B - PROGRAM DESCRIPTION

1. Title of Program

The title of this program is “**Humanitarian Assistance—Central Burma**”

2. Purpose

The United States Agency for International Development (USAID), Regional Development Mission in Asia (RDMA), Governance and Vulnerable Populations Office (GVP) is seeking applications from (U.S. and/or non-U.S.) non-governmental organizations (NGOs) and Public International Organizations (PIOs) to implement humanitarian assistance activities to people in Burma, as described in Section C of this Request for Application (RFA).

3. Background

The primary goal of this \$55 million, five-year program is to provide humanitarian assistance to communities in Central Burma. In response to Cyclone Nargis which struck Burma on May 2008, resulting in the worst natural disaster in Burma’s history and caused significant damage and suffering, the USG provided approximately \$75 million in assistance for immediate relief and rehabilitation effort. An additional \$10 million was made available last year for sustained humanitarian recovery in the Nargis-affected communities, bringing the total to \$85 million. Profound humanitarian needs remain throughout Burma and to help address those needs the FY 2010 Omnibus Appropriations Act provides notwithstanding authority for humanitarian assistance beyond the Nargis-affected communities.

4. Program and Geographic Scope for Humanitarian Assistance

The expanded humanitarian program in Central Burma should reflect a phased strategy for cost-effective, impactful interventions that are feasible in this operational environment and can arrest the decline of the most vulnerable and poor in these communities. An expanded humanitarian assistance program that will have impact against such backdrop of vast humanitarian needs in Burma should support these three key sectors: maternal child health; livelihoods/food security; and water/sanitation/hygiene (WASH). Given the operational context and chronic nature of the humanitarian needs in Burma, it is imperative to have demonstrable results.

Humanitarian assistance will be delivered in ways which empower the innate capacities of communities, strengthen local decision-making and increase community participation in the issues that affect people’s lives. USAID humanitarian assistance will build upon successes in the Delta by expanding geographic scope for assistance to Central Burma. Given finite resources, significant needs and a complex operational environment, it is imperative to design programs with a primary focus on feasibility of implementation and monitoring, including accessibility to program locations for monitoring by USAID and international staff of implementing agencies; and an enabling environment with a population density and location of villages to support a phased and incremental management approach so the multi-sectoral interventions are cost-effective, not scattered and coherent for greater impact. The possible geographic areas would include: Rangoon Division; the Dry Zone and Southern Shan state. Dry Zone is defined here as Magway and Mandalay divisions, southern Sagaing division, and northern Bago division.

5. Program Framework

5.1 Overall Goal, Program Objectives and Intermediate Results

The overall goal of this program is to alleviate suffering and prevent death through expanded humanitarian assistance in Burma.

USAID/RDMA envisions a program obligated over five years which has three coordinated and mutually supportive interventions to reach the overall development goal. It includes key specific sector interventions in (i) maternal child health (MCH), (ii) livelihoods/food security, (iii) water/sanitation/hygiene practices. The program emphasizes building of community-based knowledge, improving community participation and gender integration. An expanded humanitarian assistance program in Burma will address pressing humanitarian needs while creating opportunities for inclusive community participation and transparent, accountable decision-making.

Proposed activities should be designed to address program objectives and intermediate results as outlined but not limited to below.

Objective A: Maternal Child Health/Family Planning - Relieve the suffering of the Burmese people by decreasing maternal, newborn and child mortality

A successful program will provide additional benefits including the following illustrative results:

- **Reduction in pregnancy-related disability** (severe anemia, obstetric fistula, uterine prolapse, etc.)
- **Improved health and development of young children** (fewer episodes of debilitating diarrhea, improved intellectual, physical and social development of young children)
- **Improved productivity in the family and community** (women able to farm, sell produce, etc.)
- **Improved capacity of community members and groups to prioritize and solve problems** (obtaining routine and emergency health care)

The MCH interventions proposed are those that address the major causes of maternal, newborn and under five mortality in Burma, are proven effective, can be implemented successfully in resource-poor settings, are achievable and measurable, can generate individual level success stories, have scale-up potential for significant public health impact and can be implemented through the private/NGO sector. Moreover, the interventions proposed are appropriate for implementation in community (as opposed to facility) settings, consistent with what is known about current policies related to interventions, pharmaceuticals, and provider mandate to treat health problems.

Objective B: Livelihoods - Reduce household-level food insecurity.

Intermediate Result #1: Increase agricultural production at the household level

Intermediate Result #2: Increase household-level income

The objective of the livelihoods program is to decrease household-level food insecurity, in particular as the existing food insecurity is caused by an access constraint. All proposed humanitarian activities within the program are designed to achieve one of these two results.

Objective C: Water, Sanitation and Hygiene (WASH) - Increase the household-level health status of targeted populations through increasing access to sufficient amounts of potable water and improved hygiene practices

Intermediate Result #1: Increase household-level access to sufficient quantities of water

Intermediate Result #2: Increase household-level access to potable water

Intermediate Result #3: Increase safe sanitation practices through hygiene promotion and infrastructure provisioning

Households routinely have to resort to detrimental coping mechanisms in order to access sufficient amounts of water during the dry season. Illustrative priority areas are:

1. Water quantity
2. Water quality
3. Sanitation infrastructure
4. Hygiene Promotion

The overriding concern is to provide families with safe water that is sufficient to meet household needs. Ideally, in a WASH program resources would be channeled to address the three pillars (water, sanitation, hygiene) that contribute to the overall health status of the household. Strategies for how resources are utilized in terms of water access/quality, sanitation and hygiene must be identified and a rationale provided.

5.2 Program Implementation

USAID is seeking applications that will undertake activities to expand humanitarian assistance in Burma with a multi-sectoral, integrative strategy and phased approach. In connection to the program's overall goal, the activities will work to achieve the following program results:

1. Reduced household-level food insecurity.
2. Relieved the suffering of the Burmese people by decreasing maternal, newborn and child mortality.
3. Increased household-level health status of beneficiaries through increasing access to sufficient amounts of potable water, sanitation infrastructure and improved hygiene practices

Activities under this agreement shall be consistent with USG policy toward Burma, as in effect from time to time and as notified by the Agreement Officer or the AOTR. Generally, assistance may not be provided for the Government of Burma, unless otherwise approved in writing by the Agreement Officer or AOTR. It is recognized that there may be instances where persons who are local civil servants, such as local health officials or public school teachers, observe training sessions aimed at private individuals or volunteer community health workers. Technical assistance and training may be provided for community-level midwives. Similarly, U.S. funding may support small scale, community-managed infrastructure projects, such as footpaths and bridges, village-level jetties, and tertiary roads critical to ensuring livelihoods recovery and local access to markets, which are locally built and maintained.

A successful application will bridge humanitarian recovery processes to longer term goals that plot a path to sustainable improved conditions with the possibility of replication of successful models in other communities/areas as appropriate, strategic and systematic.

Implementation approaches should include strategies to protect the integrity of activities and to ensure compliance with USG policy/legal parameters and implementing agencies should be able to demonstrate results given the operational environment.

Humanitarian assistance will be delivered in ways which empower the innate capacities of communities to make accountable, participatory decision-making. Central to this program is the engagement and active participation of local communities and organizations to increase their knowledge base and their capacity to meet their needs. The application should show how it intends to integrate local and indigenous knowledge where possible.

Capacity development may occur at multiple levels that include partner and consortium staff, local organizations, and communities. This includes a systematic strategy and a process of institutional learning and change, which can be done through a combination of initiatives; for example, including forging a common platform to share lessons learned, best practices and successes between implementing agencies providing humanitarian assistance. Incorporate lessons learned and best practices through systematic processes of planning, implementation, and measurement that are reflected in organizational practices of adaptive learning and innovation to ensure they are sustained beyond the life of the project cycle.

5.3 Program Components

Applications should provide USAID/RDMA with a detailed technical proposal and demonstrate how it will achieve the overall goal, program objectives and results as previously described. The program should include the following components:

1. Problem statement and strategy to address the problem.
2. A discussion on how the proposed activities will contribute to the achievement of the overall goal, program objectives and results in an integrated fashion
3. A discussion of how the applicant will manage project activities, including the management of any field offices and/or the partnership with consortium organizations, and how they plan to work with USAID/RDMA in the implementation of the program.
4. Description of the envisioned cooperation and coordination with the community for participation, decision making, knowledge building and gender integration.
6. A draft work plan for the first and second year of a five-year implementation plan that considers integration across the key sectors in a phased approach.
7. A draft Performance Management Plan (PMP) with proposed output and outcome indicators, target numbers per year and means of verification for monitoring project implementation at the activity implementation level.
8. Identification of needed inputs and budget for the proposed project activities.
9. Strategy to manage programmatic and operational risks, and access to program locations for monitoring and evaluation for the highly sensitive and challenging operational environment in Burma.
10. Identification of mechanism(s) to ensure ongoing coordination with relevant NGOs, donors and the UN agencies.

Result-Based Assistance

USAID/RDMA intends to competitively award result-based cooperative agreement(s). This will require qualified applicants to be familiar with performance measures and their implementation. This mechanism is intended to ensure that funding is related to the degree that services, outcomes and quality levels are achieved within a specified time period. Requirements will be described in terms of results and the methods of work performance. Within three months after the award, the applicants will be expected to define target achievements in clear, concise language identifying specific work to be accomplished as part of the work plan. Applicants should propose some illustrative targets (tailored to the period of performance and results) and results with their application. A collaborative process will be undertaken to arrive at a consensus between the applicants and USAID.

Operational Strategy

Burma is a challenging operational environment. There are significant humanitarian needs country-wide in Burma so it is imperative to design programs that are cost-effective, coherent, and impactful. Given the sensitivities of the political and operational environment in Burma, Americans working for USAID, USG officials and international staff of international non-governmental organizations (INGO) must be able to monitor project activities to ensure responsible use of public funds. Together with implementing partners there will be regular monitoring of assistance through frequent field visits, regular progress reports, and periodic external evaluations to ensure meaningful community-led participation, transparency, and accountability.

NGO operational presence and implementation experience in Burma is an issue for consideration when determining implementation feasibility. Applicants must address these types of issues in the program design as they may impact geographic location of activities, affect the timing of project implementation, and impede or improve NGO access to communities.

Results reporting/Performance Management Plan

The geographical scope of an expanded humanitarian assistance program in Burma explicitly undertook considerations of monitoring requirements; the expectation is that activities can be monitored on an adequate basis while also noting that

travel authorizations to field sites are not guaranteed and the permission process time-consuming. Ongoing performance reviews will enable thorough review of impacts, assessment of any new or ongoing challenges and permit changes in operational and implementation strategies as required.

It is expected that applications will address “output and outcome” indicators together with their custom, project-level indicators that correspond directly to the proposed project activities.

The successful applicant(s) is/are expected to develop a Performance Management Plan (PMP) and report results based on agreed-upon indicators. Program monitoring and evaluation will be based on the PMP, which includes both quantitative as well as qualitative measures and performance indicators for the identified activities. They shall be responsible for the collection and analysis of baseline and process indicator data and performance reporting. USAID underlines the importance of developing reasonable and coherent performance targets and collecting accurate and timely data to monitor performance. Applicants should ensure that they allocate sufficient resources to this critical function.

The proposed PMP should clearly identify a list of performance indicators (output and outcome indicators) that reflect both custom and USAID standard indicators with target numbers per year for all five years; define each proposed performance indicator or term stated in the indicators which may not necessarily mutually understood by USAID; explain how data will be systematically recorded, monitored, assessed and kept; designate one key person (or a team) who will be in charge of the monitoring and evaluation activities; propose a timeframe for which data will be collected periodically and throughout the year, etc. This PMP is subject to change or revision based on consultation with USAID/RDMA/AOTR after the award(s) and throughout the course of the program.

C5.5 Gender consideration

USAID promotes gender equality through a gender mainstreaming approach that requires appropriate gender analysis be applied to all technical issues considered across programming. Gender’s inclusion (economic and equity issues) in activity planning will result in better-targeted and more effective programs. Gender means examining the constraints and opportunities for men, women, boys and girls – particularly as they may differ. Including gender means assessing: how the problems of men, women, boys and girls may be different; what the different roles and opportunities are for each during program implementation; and how the contributions of men and women may contribute to results in different ways. In addition, two guiding questions that shall be considered in addressing gender issues are: are men, women, boys and girls involved or affected differently by the context or work to be undertaken? And if so, how will this difference be addressed in order to manage for sustainable program impact?

Gender integration and ways to address gender issues through technical approaches will be considered for implementation of activities. Women often assume multiple roles and responsibilities such as caregivers, income-earners and often care providers to extended family or others in the community. In Burma, women and men have differing levels of status, as evidenced in family structures or access to markets and resources. Maternal child health directly addresses gender issues as it targets women of childbearing age; safe motherhood relieves the burden of maternal mortality and reduces the financial barriers that women face in seeking health care. In food insecure environments, women will often forego their own rations to feed dependents. At the household level, often, day wages of men were handed over and managed by their wives. Water is a gender issue as women and girls are responsible for ensuring water supply at home and securing water consumed many of their productive working hours. Good sanitation and hygiene practices are also crucial as every illness in the family increases the women’s workload.

These types of context-specific gender analyses should be threaded into program design and implementation. The applicants shall demonstrate how their gender analysis will guide long-term planning, sensitivity to gender issues and translate such into effective implementation of the program activities. As appropriate, feasible and required under ADS 303.3.6.3 (Evaluation Criteria), all impact and indicator data will be disaggregated by gender-sensitive indicators and sex.

C5.6 Environment consideration

Burma is prone to natural disasters exasperated with ongoing chronic needs that are linked to environmental degradation and limited access to resources. Humanitarian assistance activities should, where feasible and appropriate, integrate environmental considerations, such as community-based sustainable natural resource management approach to address and mitigate negative environmental practices, develop good practices, and bridge the recovery process with longer term goals. One illustrative issue is to look for opportunities and ensure that activities do not contribute to further environmental degradation that may in the longer-term compromise food security.

The successful applicant(s) must ensure environmental compliance of all humanitarian assistance activities with 22 CFR Part 216.

C5.7 Reporting

All written documentation (correspondence, reports, information sheets, etc.) for submission under this cooperative agreement must be written in English and submitted formally to the USAID/RDMA AOTR. USAID/RDMA will provide guidance on reporting standards related to the reporting schedule. Quarterly performance and final reports are required. At a minimum, all documents shall be provided in MS Word (or MS Excel or MS PowerPoint) and PDF (unlocked) formats. All written documentation and distribution shall be done with prior consultation with USAID/RDMA.

C5.8 Security

The applicant must possess a thorough understanding of the operational environment and appropriate systems and procedures for management of security risks as they relate to humanitarian assistance activities in Burma.

C5.9 Cost sharing

A cost share is defined by USAID as “contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient’s records.” Cost sharing also refers to that portion of a project or program cost not borne by the USG. Cost share or match is normally associated with contributions from the same prime and sub-recipients sources that also receive USAID funds. Examples of cost share for this program may include the provision of technical assistance, commodities, distribution networks and other sources of support. Cost share must be verifiable from the recipient’s records, is subject to the requirements of 22 CFR 226.23, and is subject to audit. A recipient’s failure to meet its cost share requirement can result in questioned costs.

According to USAID policy, cost sharing is an important element of the USAID-recipient relationship. Applicants are encouraged to contribute cost share to increase overall program impact. Applicants must be aware that all cash contributions and non-Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles. Applicant cost share may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.

C5.10 Management and Administration

Applications should demonstrate the full range of capabilities to undertake all the activities proposed in this program. Applicants may determine that to ensure the full range of capabilities required by this program they will partner with other institutions, local organizations, and other technical support partners with proven experience and knowledge of local conditions. If the applicant considers implementation through a consortium with other organizations; however, principal responsibility for implementation of the program shall rest with the applicant who shall act as prime and have final responsibility for implementation and performance monitoring of the program.

A consortium may comprise of a group of partner organizations which has one organization as a prime who will be responsible for overall implementation of the proposed program activities, and who will be directly communicate with USAID RDMA’s designated staff. A proposed consortium should have a clear structure in terms of line of authority,

managerial decision-making process, and roles and responsibilities of each consortium partner. In relation to this, it may include a Board of Directors, an advisory committee, local organizations, community representative, and a technical committee as part of a decision-making process for program implementation. Resources should be considerably shared among the consortium partners based on their contributions to the program.

If the applicant teams with other organizations, the applicant will include a sub-grantee/consortium management plan that outlines the level and type of services envisioned, relationship with the prime, and lines of authority and reporting, including a detailed description of defined roles and responsibilities, and/or methods proposed to establish new relationships. It is necessary to describe how elements of the cooperative agreement will be implemented through any types of partnership. It is expected that applicants will have continuous field presence to ensure effective on-the-ground implementation. The applicant will designate one individual (Chief of Party) to be the liaison with USAID/RDMA. USAID/RDMA will designate an Agreement Officer Technical Representative (AOTR) as the counterpart to that person within USAID/RDMA on the technical and management issue concerning the implementation of the program.

C5.11 Personnel

Two key personnel, the Chief of Party and Deputy Chief of Party (or equivalent) are required. Applicants may identify up to three additional key personnel with management responsibilities addressing the various project areas of their proposal. The applicant may consider the following overall technical skills and experience that non-key personnel may require to effectively implement project activities. This, however, is only illustrative and the applicant may put together a team which it believes would best meet the accomplishment of project objectives and results.

- Technical staff with skills and work experience in humanitarian assistance in Burma as well as in related subject areas such as maternal child health, water/sanitation and hygiene, livelihoods, food security, and community development.
- Monitoring and evaluation specialists
- Field supervisors
- Financial and administrative managers
- Personnel with demonstrated track record in managing international programs in similar complex, operational contexts
- Strong strategic planning, monitoring, management, supervision, and budgeting expertise
- Ability to work at community and national levels
- Strong communication skills, both interpersonal and written
- Experience in designing communication strategies for behavior change
- Local language (Burmese) capability.

The Applicant must propose an organizational structure that's most effective in implementing the proposed program. The Agreement Officer's Technical Representative (AOTR) will approve all key personnel.

Applicants must also demonstrate how they plan to build in-country capacity to provide project leadership, technical guidance and overall management over the life of the project.

C5.12 Partnering and linkages

Central to this RFA is partnership and collaboration among stakeholder groups. Applications should include appropriate systems to encourage better coordination and collaboration among key actors in related subjects to achieve better outcome. Those partners include non-governmental organizations, donors, UN agencies, and communities.

SECTION C - SELECTION CRITERIA

Applications will be evaluated in accordance with the selection criteria identified below. Subject to the availability of funds, USAID expects to award up to three cooperative agreements. An award (or awards) will be made to the responsible applicant(s)/partner(s) whose application(s) offer the greatest value, cost, integrated approach, financial viability, innovative solutions, and other factors considered. USAID reserves the right to determine the resulting level of funding for any awards made under this RFA.

The technical application must set forth in detail the conceptual approach, methodology, and techniques for accomplishment of the stated program objectives. The application must define results and benchmarks for monitoring progress in achieving the results.

Interested, eligible organizations (in a form of consortia) are encouraged to propose activities to be completed within a five-year period to address the goal and objectives of the program. A budget of around \$55 million over five (5) years is expected to be sufficient to cover all project activities. USAID reserves the rights to determine the resulting level of funding for any cooperative agreement(s) made under this RFA.

A technical evaluation committee will review applications based upon the criteria set forth below which have been tailored to the requirements of this RFA. Weighted points indicate the relative importance of each technical criterion and sub-criteria, of which 100 points are possible. Applicant should note that these criteria serve to (a) identify the significant issues that applicants should address in their applications, and (b) to set standards against which all applications will be evaluated.

After evaluation of initial proposals, USAID expects to select the applicant(s) which will receive the award to implement the program description. Once this choice is made, USAID may engage in discussions or negotiations with the selected applicant(s) regarding any matter to be covered in the final program description. However, USAID may also award without discussions with the selected applicant(s).

To facilitate the review of applications, applicant must organize the narrative sections of technical proposals according to the evaluation criteria set forth below.

TECHNICAL EVALUATION CRITERIA

A. Program Strategy, Approach and Technical Understanding of Program Description 40 Points Total

The program strategy and technical approach must demonstrate feasibility, innovativeness and cost-effectiveness to achieve the program goals and the specific objectives of the program. Specifically, the applicant must describe the following:

Technical Leadership in Key Components of the Program (20 points)

Effective models proposed to address the key components of the Program Description (see Section C of this RFA) in the areas of humanitarian assistance, specifically in the three sectors: livelihoods/food security, maternal and child health and water/sanitation and hygiene, including: innovativeness, pragmatism, organizational knowledge, capability, expertise and soundness in the overall strategy and approach in response considerations in Section C; demonstration of logical linkages between the required technical components in order to meet the humanitarian needs and impacts on the ground with possibility of replication of success; five-year implementation plan including the first and second year work plans; strength of illustrative work plan with implementation schedule to ensure a smooth and effective launch of program implementation, i.e. strength of the analysis of potential obstacles, risks and problems that could be encountered during program implementation, and feasibility of the proposed solutions for addressing the identified problems.

The Applicants will be assessed on the overall quality of the Performance Management Plan (PMP). This includes the identification of appropriate milestones and targets (including gender disaggregated targets); baseline data gathering

efforts; and monitoring program outputs, outcomes, and results to achieve the proposed program objectives. Linkages of outcomes and outputs of program activities to the Assistance Objectives (AO), Result Framework and Intermediate Results must also be clearly defined. Applications must also define how the applicant will be held accountable to program participants and beneficiaries (see also Section C). Proposed use of available resources within the implementing agencies, as well as bring in new resources from potential consortium members, where possible, to integrate and coordinate their multi-sectoral activities for broader community-level impact. Adequately analyze, address and integrate gender consideration in planning, designing and implementing activities.

Methodology and Strategy (20 Points)

The Applicants must demonstrate a clear and realistic strategy, approach and methodology, set of proposed activities, and a set of relevant indicators to achieve the required results within the timeframe of the project. The assumptions and hypotheses underlying the strategy must be clearly articulated. Implementation should be cost-effective, impactful, and feasible in the operational environment and can arrest the decline of the vulnerable and poor in the communities. Consideration should be given for a measured, phased approach to multi-sectoral interventions that are integrative and coherent. There should be clear strategy to maximize the use of available resources to achieve the greatest and most lasting results, and a well-developed and realistic description of how the implementation strategy will meet the humanitarian needs in ways which integrate inclusive and active community participation and decision-making. The strategy must possess a thorough understanding of the operational environment and appropriate systems and procedures for management of security risks as they relate to humanitarian assistance activities in Burma. Applications should include appropriate systems to encourage better coordination and collaboration among key actors in related subjects to achieve better outcome. Those partners include non-governmental organizations, donors, UN agencies, and communities.

2. Organizational Qualification (Management Approach and Staffing)

40 Points Total

a. Monitoring and Evaluation Plan: (15 Points)

A monitoring and evaluation plan with demonstrated understanding of effective monitoring and evaluation techniques for measuring results and impacts that includes: ability of the performance monitoring and evaluation plan to quantifiably measure program progress and results using program-specific indicators, including the activities of any sub-awards. Soundness of the methodologies for setting baselines and proposed indicators, and methods for collecting and analyzing data and measuring progress toward achieving objectives, with emphasis on results achieved and/or impact, rather than just “outputs” (i.e., number of people trained). The methodologies for achieving results, impact, improving performance, effectiveness, and clear demonstration of an understanding of best practices and lessons learned to date in the sector of humanitarian assistance. A monitoring and reporting system should have clear program results, indicators and milestones.

b. Staffing: (15 Points)

Depending on the focus and subject areas of the proposal, Chief of Party, Deputy Chief of Party, or equivalent personnel, should demonstrate that core technical staff possesses a breadth and depth of technical expertise, professional competence and relevant academic background in key areas of the proposal such as management, monitoring, design and implementation.

Skills and experience are demonstrated in a combination of the following: experience with US government or other international donor funded activities, strategic planning, information management, community participation management, and technical areas required in Section B; ability to provide effective guidance and oversight to technical members, short-term technical consultants, and consortium partners; demonstration of team building and collaboration skills of key personnel, including the fostering of collaborative partnerships and linkages with stakeholder groups. The staffing pattern reflects the minimum number of highly experienced technical staff sufficient to manage the range of activities needed and the optimal mix of technical personnel considered necessary to achieve results. Proposed staff members demonstrate expertise in humanitarian assistance, implementation, and evaluation and where applicable, scaling up of activities.

Demonstrated Burmese language fluency skills for those staff in which language skills enable effective implementation of activities.

c. Management Plan: **(10 Points)**

A concise and balanced management plan should ensure program effectiveness and efficiency, identify and describe partnerships, including potential synergies, relationships, common objectives, and plans for effective decision-making and management communications. There should be clear description of how the applicants will ensure that it will have the necessary technical expertise to implement the various components of the program and demonstrate field presence and the capacity to implement and monitor activities on the ground. A thorough internal management plan should include non-key personnel staffing, with clearly defined roles and responsibilities, organizational structure, and lines of communications, the potential to build local partnerships and demonstrate the ability to address USAID communication and outreach requirements including annual reporting, success stories, case studies, etc.

3. Past Performance

20 Points Total

Past performance will be evaluated based on evidence of past achievement of successful results in the technical subject areas described in this RFA, as well as experience working in complex operational environments, in program monitoring and evaluation, timeliness, budgeting, and financial reporting, as follows: demonstrated organizational knowledge, capability, experience, past performance and expertise in the areas of livelihoods/food security, maternal and child health and water/sanitation and hygiene; evidence of past achievement and/or successful results in implementing similar programs (including those of consortium partners), and clear demonstration that the proposed program incorporate lessons learned; demonstrated past record of success in implementing programs in Burma, including implementation of activities in the stipulated geographic areas; demonstrated past record success in maintaining positive and effective relationship with donors, and other partners; and demonstrated timeliness in meeting milestones and ability to implement activities within budget.

[Note: The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant past performance history or in which information on past performance is not available, the applicant will not be evaluated favorably or unfavorably on past performance. The neutral rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all other applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's past performance.]

Total (technical evaluation criteria):

100 points

COST EVALUATION CRITERIA

Evaluation points will not be awarded for cost. The cost applications of all applicants submitting technically acceptable applications will be reviewed, but not assigned a score. Costs will be evaluated for general reasonableness, allowability, allocability, cost effectiveness and realism, adequacy of budget detail and financial feasibility. While cost may be a determining factor in the final decision of an awardee(s), the technical merit of applications is substantially more important under this RFA.

Evaluation of the cost proposal will consider but not be limited to the following.

- Cost reasonableness;
- Cost effectiveness and realism;
 - Are the budget estimates realistic for the proposed activities?
 - Do the budget allocations result in optimal used of program funds and ensure that there are sufficient resources to implement the proposed program activities?
- Consistency with the technical proposal;

- Completeness and adequacy of proposed budget information;
- Overall cost control/cost savings evidenced in the proposal (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements); and
- Quality and quantity of the cost share (see Section C Program Description).

USAID endorses cost-sharing as an important principle in USAID-Recipient relationships. Applicants are encouraged to contribute cost share to increase overall program impact. Applicants must be aware that all cash contributions and non-Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles. Applicant cost share may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.

SECTION D - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

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

PART I - CERTIFICATIONS AND ASSURANCES

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

- (a) The Recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the Recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the Recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

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

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

- (1) By signing and/or submitting this application or grant, the Recipient is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the Recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For Recipients other than individuals, Alternate I applies.
- (4) For Recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

- (1) The Recipient certifies that it will provide a drug-free workplace by:
- (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (B) Establishing a drug-free awareness program to inform employees about:
1. The dangers of drug abuse in the workplace;
 2. The Recipient's policy of maintaining a drug-free workplace;
 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);
- (D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--
1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The Recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The Recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction;

violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. 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, subgrants, 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.

5. 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 certification 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.

The Recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The Recipient must obtain from each identified subgrantee 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. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the Recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the Recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

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

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

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

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

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an Applicant 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 Applicant has an existing Letter of Credit (LOC) with USAID or another US federal agency, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

(c) Nonexpendable Property. If the Recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to

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

TYPE/DESCRIPTION (Generic) QUANTITY ESTIMATED UNIT COST

(d) Source, Origin, and Componentry of Goods. If the Recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, 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. "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.

TYPE/ DESCRIPTION (Generic)	QUANTITY	EST. UNIT COST	GOODS COMPONENTS	PROBABLE SOURCE	GOODS COMPONENTS	PROBABLE ORIGIN
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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.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
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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.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY	RATIONALE for NON-US
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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.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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(h) The source and origin of procurements under this agreement will be subject to the Standard Provisions titled “USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (APRIL 1998)” and “Local Procurement”.

6. PAST PERFORMANCE REFERENCES

On a continuation page or as part of your cost proposal, please provide a list of the U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., received during the last three years, and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

PART III - STANDARD PROVISIONS

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

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

2. SF 424 Application For Federal Assistance Website: This form can be downloaded on USAID website at: http://www.usaid.gov/procurement_bus_opp/procurement/forms.

ATTACHMENTS

1. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, —Audits of States, Local Governments, and Non-Profit Organizations||).

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

[END OF PROVISION]

2. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to www.fsr.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsr.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) the total Federal funding authorized to date under this award is \$25,000 or more;

(ii) in the preceding fiscal year, you received—

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

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

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

(i) As part of your registration profile at www.ccr.gov.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

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

(i) in the subrecipient's preceding fiscal year, the subrecipient received—
(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

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

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

d. Exemptions

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

- (1) subawards, and
- (2) the total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR part 25:

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

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

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

(4) Subrecipient means an entity that:

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

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- (i) Salary and bonus.
- (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- (iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v) Above-market earnings on deferred compensation which is not tax-qualified.
- (vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

3. TRAFFICKING IN PERSONS (OCTOBER 2010)

a. Provisions applicable to a recipient that is a private entity.

(1) You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—

- (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- (ii) Procure a commercial sex act during the period of time that the award is in effect; or
- (iii) Use forced labor in the performance of the award or subawards under the award.

(2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

- (i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
- (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—

(A) Associated with performance under this award; or

(B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, __OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

b. Provisions applicable to a recipient other than a private entity.

(1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

- (i) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or
- (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—

(A) Associated with performance under this award; or

(B) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, __OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

b. Provisions applicable to any recipient.

(1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.

(2) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:

(i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

(ii) Is in addition to all other remedies for noncompliance that are available to us under this award.

(3) You must include the requirements of paragraph a. (1) of this award term in any subaward you make to a private entity.

d. Definitions. For purposes of this provision:

(1) “Employee“ means either:

(i) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or

(ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

(2) “Forced labor“ means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

(3) “Private entity“:

(i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).

(ii) Includes:

(A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

(B) A for-profit organization.

(4) “Severe forms of trafficking in persons,“ “__commercial sex act,“ and “__coercion“ have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

[END OF PROVISION]

4. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)

Requirements for Voluntary Sterilization Programs

(1) None of the funds made available under this award shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

Prohibition on Abortion-Related Activities:

(1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term "motivate", as it relates to family planning assistance, shall not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

[END OF PROVISION]

5. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

6. 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.

7. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

[not required to be completed pre-award].

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.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The Recipient must obtain from each identified subgrantee 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. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the Recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the Recipient is a non-U.S. nongovernmental organization.

8. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including

but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182).

_____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

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

9 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 Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

10. Survey on Ensuring Equal Opportunity for Applicants

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

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

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

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

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

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

Yes No

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

3 or Fewer 15-50
 4-5 51-100
 6-12 over 100

3. What is the size of the Applicant's annual budget? (Check only one box.)

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

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

Yes No

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

Yes No

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

Yes No

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

Yes No

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

Yes No

11. Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the Applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit Applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the Applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

12. LOCAL PROCUREMENT BLANKET WAIVER



Subject: Local Procurement Blanket Waiver

The purpose of this letter is to notify you that the USAID Administrator approved a blanket waiver authorizing local procurement from the cooperating country in an amount of up to \$5 million of commodities and services under your award effective as of November 24, 2010.

This waiver authority is provided under the provision in the Mandatory Standard Provision entitled "Local Procurement" of your grant/cooperative agreement for the purchase of goods and services supplied by local businesses, dealers or producers with the following limitations and requirements.

The waiver includes:

- Services of host country nationality;
- Commodities of host country source and origin;
- Commodities of host country source and any origin (Code 935)

This blanket waiver effectively establishes (per USAID award) a single \$5 million threshold for local procurement to replace those individual thresholds currently set forth in 22 CFR 228.40 Local Procurement and ADS Chapter 311. Under the authority of this blanket waiver, you may now purchase

- up to \$5 million of commodities of U.S. origin from local suppliers; OR
- up to \$5 million of commodities of geographic code 935 origin from local suppliers; OR
- up to \$5 million of professional services contracts from local suppliers; OR
- any combination of these commodities and professional services not to exceed \$5 million.

The waiver does not affect the eligibility of construction-related local procurements nor commodities and services which are only available locally as set forth at 22 CFR 228.

This amount is a single aggregate total comprised of all purchases under the prime award, all subawards, and purchases under those subawards. You may choose to allocate portions of the waiver threshold authority to subawardees; however, it is your responsibility as the prime awardee to monitor and document the total local procurement expenditures made under the authority of the blanket waiver to ensure that the cumulative sum of those procurements under the award does not exceed the dollar threshold in the waiver.

If the total amount of purchases of goods and services reaches the \$5 million threshold authorized in the waiver, then the requirements for local procurement revert to 22 CFR 228.40 (and as supplemented in ADS 311) for any additional purchases above the threshold.

Individual or case-by-case waivers which were approved before the effective date of the blanket waiver are not considered part of the \$5 million threshold.

This waiver does not include Restricted Commodities and Eligibility of Commodities under the Commodity Eligibility Listing (CEL). Waiver approval requirements for restricted commodities (as set forth in 22 CFR 228 Source Origin and Nationality Rules and ADS 312) remain in effect; eligibility of commodities as set forth in the CEL are also unchanged (Mandatory Reference to ADS 312).

All other terms and conditions of the award remain unchanged.

Please do not hesitate to contact me with any questions about the implementation of these approvals authorized by the agency blanket local procurement waiver or the corresponding documentation requirements.

13. Branding and Marking Requirements for Assistance Awards

320.3.3 Branding and Marking Requirements for Assistance Awards

Effective Date: 01/08/2007

USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.” In accordance with 22 CFR 226.91, this policy applies to these assistance awards even when the award does not require any cost sharing (see [ADS 303.3.10](#)).

320.3.3.1 Co-branding and Co-marking

Effective Date: 01/08/2007

Co-branding and co-marking mean that the program name represents both USAID and the implementing partner, and the USAID Identity and implementer's logo must both be visible with equal size and prominence on program materials produced for program purposes. Such program materials include the assistance set forth at [22 CFR 226.91 \(b\) – \(e\)](#). Program materials do not include commodities the recipient or sub-recipient procures for their own use in administering the USAID-funded program (in accordance with the definition of “commodities” in [22 CFR 226.2](#)). In short, co-funding means co-branding and co-marking. However, the AO, after consulting with the activity manager/requesting office, may determine that program goals require that the USAID Identity be larger and more prominent, if USAID is the majority donor and the USAID funded program, project, activity or public communication is especially visible and important to USAID.

A host-country symbol or ministry logo or other U.S. Government seal or logo may also be added, if applicable.

Marking is not required for recipient's offices, vehicles, and items the recipient procures for its own administrative use (see [22 CFR Part 226.91](#) and [320.3.5](#)). The prohibitions on use of the USAID Standard Graphic Identity (see [320.3.1.5](#) and [320.3.1.6](#)) apply by USAID policy to recipients of grants and cooperative agreements.

320.3.3.2 Branding and Marking Requirements for Specific Grant, Cooperative Agreement, or Other Assistance Awards

Effective Date: 01/08/2007

Marking requirements, including requests for presumptive exceptions (see [22 CFR 226.91\(h\)](#)) and waivers, for assistance awards must be in accordance with [22 CFR 226.91 \(j\)](#). By policy, USAID requires non-U.S., non-governmental organizations, including cooperating country non-governmental organizations (and in rare cases, Public International Organizations, see [320.3.5](#)), to follow marking requirements for assistance awards as set forth in this chapter and [22 CFR 226.91](#). In addition to the presumptive exceptions in 22 CFR 226.91(h), loan programs under assistance awards may also be determined to be an exception to the USAID marking policy, in accordance with section [320.3.4.4](#). For unsolicited proposals and other non-competitive awards, the applicant is considered the Apparently Successful Applicant and may submit a Branding Strategy and Marking Plan with their proposal. (See [320.3.1.4](#) regarding adding incremental funding to existing awards.)

AOs, activity managers and other members of the SOT/RO, and CTOs, with support from DOCs, Bureau/Office Communications Officers, and the Senior Advisor for Brand Management (LPA), are responsible for ensuring that Apparently Successful Applicants and recipients are familiar with the **USAID Partner Co-Branding Guide** and other Agency guidance.

A determination by an AO before an award is made that none of the presumptive exceptions applies is not subject to a separate appeal process, but may be handled through normal grant award or administration procedures. A determination by an AO after an award is made that a presumptive exception does not apply is subject to the appeals process at [22 CFR 226.90](#).

In accordance with [section \(j\) of 22 CFR 226.91](#) and [Marking Under Assistance Instruments](#), Principal Officers have the authority to approve waivers of marking requirements. Recipients may appeal the Principal Officer's determination concerning a waiver to the Principal Officer's cognizant AA.

For specific guidance to implement the requirements in this chapter in USAID grants and cooperative agreements, see [Marking Under Assistance Instruments](#).

14. Burma OFAC License

SECTION I – AUTHORIZATION: (a) Subject to the terms and conditions set forth in this License, U.S. persons who are employees, grantees or contractors of the United States Department of State or the United States Agency for International Development (the “Licensees”) are hereby authorized, for the conduct of the official business of the United States Government, which in the case of grantees and contractors are those activities defined and authorized by their U.S. government grants and contracts, to conduct all financial transactions and other activities otherwise prohibited by the Burmese Sanctions Regulations, 31 C.F.R. Part 537, Executive Order 13448 of October 18, 2007, Executive Order 13464 of April 30, 2008, or the Tom Lantos Block Burmese JADE (Junta's Anti-Democratic Efforts) Act of 2008 (P.L. 110-286) (“JADE Act”), that are necessary to support their activities in Burma.

(b) All transactions necessary for the importation into the United States of Burmese-origin human DNA specimens, in sample quantities, for analysis purposes are authorized.

(c) The Licensees are authorized to maintain bank accounts at a financial institution whose property is blocked pursuant to section 1 of Executive Order 13310.

(d) The Licensees are authorized to operate bank accounts on the books of U.S. financial institutions for the purpose of funding the activities authorized by this License.

(e) Payments pursuant to this License are authorized even though they may involve transfers to or from an account of a financial institution whose property is blocked pursuant to section 1 of Executive Order 13310, provided that the account is not on the books of a financial institution that is a United States person.

SECTION II – CONDITIONS: (a) Transfers of funds by Licensees to Burma pursuant to this License may be undertaken only in direct support of conducting official activities, which in the case of grantees or contractors are those activities defined and authorized by their U.S. government grants and contracts. Bank accounts maintained at a financial institution whose property is blocked pursuant to section 1 of Executive Order 13310, as authorized under Section I(c) above, may be used solely for funds in direct support of conducting official activities, which in the case of grantees or contractors are those activities defined and authorized by their U.S. government grants and contracts.

(b) Any transfer of funds through the U.S. financial system pursuant to the authority set forth above should reference the number of this License to avoid the blocking or rejection of the transfer.

(c) Except as expressly authorized in Section I(b) above, this License does not authorize any importation into the United States of any article that is a product of Burma or any importation into the United States of jadeite or rubies mined or extracted from Burma or any article of jewelry containing such jadeite or rubies.

(d) This License does not authorize new investment in Burma.

SECTION III – WARNING: Except as expressly authorized by the terms of this License, or otherwise by the Office of Foreign Assets Control, this License does not authorize the transfer of any blocked property, the debiting of any blocked account, the entry of any judgment or order that effects a transfer of blocked property, or the execution of any judgment against property blocked pursuant to any Executive order, statute, or 31 C.F.R. Chapter V.

SECTION IV – RECORDKEEPING AND REPORTING REQUIREMENTS: In accordance with 31 C.F.R. Part 501, the Licensees are required to keep full and accurate records of all transactions engaged in pursuant to the authorization contained in this License. Such records shall be made available for examination upon demand for at least five years from the date of each transaction. Such records shall clearly demonstrate the applicability of the authorization set forth in Section 1 hereof. (Attention is drawn to the recordkeeping, retention and reporting requirements of 31 C.F.R. §§ 501.601 and 501.602.)

SECTION V – PRECEDENTIAL EFFECT: The authorization contained in this License is limited to the facts and circumstances specific to the Application.
