



**USAID**  
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Funding Opportunity Title: Women's Leadership in Peace and Security

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Deadline to Submit Questions for the First Round of Concept Paper Evaluations: July 14, 2010

Deadline for Submission of Concept Papers for the First Round of Evaluations: July 21, 2010; 2:00 P.M. EST

Final Closing Date: July 6, 2011

Submit Concept Papers to: WID\_APS@usaid.gov

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To Interested Applicants:

The purpose of this Annual Program Statement (APS) is to solicit applications for funding. The United States Government (USG), through the United States Agency for International Development (USAID), is seeking concept papers (of up to five pages) first and then full applications from prospective partners to implement activities in support of creative and timely responses to the implementation of United Nations Security Council Resolutions 1325, 1820, 1888 and 1889 on women, peace and security. USAID is specifically interested in programs that empower women leaders to establish and participate in local, national, regional and international institutions, mechanisms and programs for the prevention, management and resolution of conflict. This also includes programs addressing gender-based violence and all other forms of violence in conflict and post-conflict contexts. The aim is to contribute to the body of knowledge and effective tools for comprehensive integration of gender issues throughout USAID/USG development, humanitarian and transition work. The geographic focus of this APS is USAID recipient countries worldwide.

This APS is open for one year. All concept papers for the first round of evaluations are due by July 21, 2010, at 2:00 P.M. EST (local time in Washington, D.C.). It is likely that all of the available funds for this APS may be allocated to awards resulting from the first round of

evaluations. At the discretion of USAID, applications received after the first round of evaluations may be considered on a rolling basis or as part of another round of evaluations.

USAID's Office of Acquisition and Assistance, on behalf of the Agency's Women in Development (WID) Office, anticipates awarding one to two cooperative agreements to fund successful applications submitted in response to this APS. The total amount of funding currently available for this APS is approximately \$800,000 for a period of up to three years. USAID may choose to fully fund or incrementally fund the selected application(s). The amount of available funding and the number of awards is subject to change. USAID reserves the right to make no awards as a result of this APS.

This APS is seeking applicants to propose creative and effective approaches to increasing women's leadership in the prevention and management of conflict and in post-conflict reconstruction. Applicants may choose from a range of topics such as, but not exclusive to: creating and/or implementing National Action Plans using participatory processes and a whole of government approach; increasing the number of women negotiators and mediators; addressing the difficulty in transcending the gap between the number of female grassroots activists and the number of women with a meaningful place at the negotiating table; ensuring that peace negotiations and agreements take gender considerations into account; strengthening security and judicial systems to protect women and girls from gender-based violence and reduce impunity; and addressing the underlying culture of violence which leads to widespread gender-based violence during and after conflict. The proposed projects should be based on needs identified through gender analysis and analysis of the local drivers of conflict and violence against women, and must reflect an understanding of local needs. The proposed projects may focus either on innovative approaches to addressing this topic that, if successful, can be expanded within the target country and/or to other countries, or on how best to scale up small projects that have demonstrated change in a limited capacity to date. Awardees will be expected to share evaluation results and key lessons with the broader development community. In doing so, these activities will help shape USAID's and the WID Office's technical leadership agenda on gender equality and women's empowerment.

USAID has over 80 missions throughout the developing world (defined as Development Assistance Committee recipient countries). Proposals for this APS will be considered for all of the countries USAID serves. Applicants must demonstrate success in managing cultural and political considerations in the proposed focus country or region as well as success in addressing U.S. Government concerns.

**USAID's WOMEN IN DEVELOPMENT (WID) OFFICE'S  
ANNUAL PROGRAM STATEMENT (APS)  
ON  
WOMEN'S LEADERSHIP IN PEACE AND SECURITY**

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## **SECTION I: FUNDING OPPORTUNITY DESCRIPTION**

### **(1) Description of the Proposed Program**

#### **Background**

In the past ten years, there has been increasing recognition of the need to include women's voices and perspectives into conflict prevention, resolution and post-conflict reconstruction. Including gender considerations and involving women in all aspects of peace-building are important in efforts to create durable peace and reconciliation.

As a result, a series of United Nations (UN) Security Council resolutions have been adopted on women and peace and security. These include Resolutions 1325 (2000), 1820 (2008), 1888 (2009) and 1889 (2009). As stated in the September 2009 Report of the Secretary-General (S/2009/465), while some limited amount of progress has been made, women continue to remain outside of most peace processes. It is difficult for women to move from the level of grassroots activists to official signatories or negotiators, and if accepted into the peace process, they do not always have the opportunity to make their voices heard. Furthermore, the issues that are most salient to protection, sustenance and empowerment of women and girls are frequently omitted from peace talks and agreements. Women are often considered only to be victims of war and not as critical partners in preventing and/or resolving situations of armed conflict.

At the same time, although there has been a focus on women and girls as victims, there has not been enough of a coordinated effort to protect women, girls, and civilians in general, from violence, especially gender-based violence, in the context of conflict. This results in grave violations of human rights and deteriorates the fabric of society. In addition, along with factors such as low literacy rates and poverty, which are a result both of prolonged conflict and women's lower status in most societies, the threat of gender-based violence during and after conflict keeps women from participating in peace-building and post-conflict reconstruction activities. There is the need to more comprehensively create and enforce legal and security systems which protect women and girls and ensure accountability for acts of gender-based violence in countries in the midst of and recovering from conflict.

#### **Overall Program Objectives**

The goal of this Annual Program Statement is to support innovative programs to increase the leadership of women and girls in conflict prevention, resolution and post-conflict reconstruction activities and to reduce violence against women and girls in conflict contexts.

#### **Overview**

Women and men, boys and girls all play roles in both the perpetration and prevention of conflict, and in the process of rebuilding post-conflict. Women and men also have complex patterns of empowerment, disempowerment and victimization during war. While it is usually assumed that combatants are male, it is important to recognize that women and girls are also forced or willing

participants as fighters, supporters and dependents. At home, some women gain increased economic and political roles as they become the sole breadwinners after men leave to join war. At the same time, females, and to a lesser degree males, are often victims of gender based violence, and both may be the target of other types of violence. Post-war contexts usually include a disproportionate number of female-headed households, due to death and displacement of male fighters.

In order to provide effective interventions focused on conflict prevention, management and post-conflict reconstruction, it is important to acknowledge these complex situations and the various roles played by both sexes. In many post-conflict contexts, although women make up the majority of the population, they have little say in the terms of any peace agreement and subsequent decision-making structures. They also continue to be victims of widespread rape and other forms of gender-based violence. The result is both the disempowerment of the majority of the population and peace agreements and structures that are unlikely to be representative of the realities and needs of the population.

In recognition of this fact, nearly ten years ago, the first UN Security Council Resolution (SCR) on women, peace and security was passed. UN SCR 1325 calls for increased participation of women in preventing, managing and resolving conflict; protection of women's rights; and ensuring that women's and girls' security and other needs are met in conflict-affected areas. It calls on all actors to adopt a gender perspective when negotiating and implementing peace agreements, including aspects such as recognizing the unique needs of women and girls during resettlement, rehabilitation and reintegration. UN SCR 1325 also emphasizes the importance of respecting the civilian and humanitarian character of refugee camps and settlements and the need to factor women's needs and safety into their design. It further calls for an end to impunity for those who commit war crimes including using rape as a weapon of war.

In order to strengthen commitment and accountability to UN SCR 1325, in 2004, Security Council Presidential Statement (S/PRST/2004/40) called for states to create national action plans for its implementation. UN SCR 1889, passed in 2009, also encourages all member states to develop national action plans and calls for the creation of a set of indicators to track implementation of the resolution. Based on this request, a set of indicators are currently in the process of being developed.

In an effort to increase the attention given to conflict-related sexual violence, UN SCR 1820 was passed in 2008. It emphasizes that rape and other forms of sexual violence can constitute war crimes and urges Member States to provide protection and to prosecute these acts. UN SCR 1820 also urges regional and sub-regional bodies to implement policies, activities and advocacy for women and girls affected by sexual violence in armed conflict. It calls for training of troops and peacekeeping personnel in gender-based violence and an increase in the percentage of women peacekeepers and police. In 2009, UN SCR 1888 re-emphasized the importance of ending impunity and addressing sexual violence issues in pre-ceasefire humanitarian access agreements, ceasefire and peace agreements and in post-conflict reconstruction activities such as security sector reform (SSR), transitional justice, and disarmament, demobilization and reintegration (DDR). In addition to calling on the Secretary-General to appoint a UN Special Representative to focus on this issue, it also stressed the importance of identifying gaps in

national response and encouraging a holistic national approach to addressing sexual violence in armed conflict.

In response to these Security Council Resolutions and Statements, sixteen countries have created National Action Plans (NAPs). While many on this list are European countries, there have been some NAPs from developing countries such as Uganda, Liberia and Cote D'Ivoire. The Non-Government Organization (NGO) Working Group on Women, Peace and Security has identified some best practices in developing NAPs such as conducting initial gender audits and surveys, forming cross-government groups that partner with civil society, creating clear mechanisms for monitoring and accountability, and making sure adequate resources are allocated. NAPs can be important in building consensus and ownership, but they are often lacking in concrete indicators and political will to measure progress and define accountability. Provisions in UN SCR 1888 and 1889, such as the creation of global indicators, may help in this regard. However, in addition to the need for additional countries to create comprehensive national plans, policies and structures to address issues related to women, peace and security, there is also the need to ensure ongoing support from senior level national and international actors for the implementation and monitoring of plans. Dialogue within governments and with civil society and international actors must continue to occur, and best practices should be shared.

To date, women have had some involvement in peace processes in various capacities and have had influence in select countries on ensuring that gender concerns are incorporated into agreements. For example, in Somalia, women formed a "sixth clan" to cross clan lines and advocate for peace. Through a great deal of persistence, they were included in peace talks and were able to secure inclusion into the Transitional Federal Charter of a quota of 12% women in the Transitional Federal Parliament. In Guatemala, women's participation in the peace process led to accords which include a commitment to reduce maternal mortality by 50% and to create laws and institutions to outlaw sexual harassment. An all female police unit was established as a part of the United Nations Mission in Liberia (UNMIL) peacekeeping efforts to help protect women and make them more comfortable in approaching the police. After the genocide, Rwandan women formed coalitions across civil society and government, and a women's ministry was created along with a national gender policy, which has been successful in getting gender concerns broadly integrated across government ministries.

These and other examples pave a path for greater inclusion of women and gender concerns into peace processes and post-conflict reconstruction, but there is still a long way to go. The various roles of women and girls as fighters, caretakers, leaders and victims must be recognized. Gender concerns must be included in prevention and early warning efforts. Women must be included as mediators and negotiators. Peace agreements and implementing mechanisms must include gender concerns in all aspects of post-conflict reconstruction, such as transitional justice, security sector reform, constitution-building and elections. An understanding of the dynamics particular to each conflict is important in designing sustainable solutions, and often uncovers societal polarization, normalization of violence and shifting gender norms including a heightened association between masculinity and violence. Strong steps must be taken to prevent gender based violence during conflict, to punish the perpetrators and to set the stage for a post-conflict society in which gender based violence is not tolerated and women are safely able to participate in political, economic and social structures and processes. Comprehensive national action plans

must be created and monitoring and evaluation must occur to ensure that programs are effective and to provide concrete evidence of the benefits of inclusion of women into peace-building.

Applicants to this Annual Program Statement are requested to submit innovative solutions to address identified gaps in programming on these topics. Proposed solutions should be based on needs identified through gender analysis and analysis of the local drivers of conflict and violence against women. Initiatives should focus on either new, creative pilot projects which may be able to be replicated and/or scaled up in the future, or plans to scale up small projects that have shown success. Awardees will be expected to share evaluation results and key lessons with USAID and the broader development community, linking results back to the initial goals identified through gender and conflict analysis. In doing so, these activities will help shape USAID's and the WID Office's technical leadership agenda on gender equality and women's empowerment.

### **Expected Results**

USAID's Office of Women in Development expects to fund a set of practical implementation models that have measurable results, share knowledge widely, and build long-term capacity that continue the initiatives into the future. All initiatives should ultimately support innovative projects that promote women's leadership in peace-building, post-conflict reconstruction and/or initiatives to reduce violence against women and girls in conflict contexts. Considerations should be given to the roles of both men and women, and ways in which the planned program will affect and include both sexes in the solutions. Each cooperative agreement ("Agreement") / activity will establish its own set of outcome indicators and benchmarks, which may be drawn from the indicators created in response to UN Resolution 1889. These indicators should be addressed in the concept paper as well as in the full proposal.

Potential indicators include:

1. Increased participation of women leaders in peace negotiations;
2. Increased inclusion of gender concerns into peace agreements;
3. Increased national efforts and support for inclusion of women leaders and gender concerns in post-conflict reconstruction and governance;
4. Decreased rates of gender-based violence in conflict and/or post-conflict settings.

Each Agreement/activity will establish its own set of output performance indicators. For example:

1. Number of women in decision-making roles in local, national or regional organizations involved in preventing conflict;
2. Number and percentage of female mediators and/or negotiators as party to a peace treaty;
3. Number of police trained in collecting evidence and providing services to victims of gender-based violence;
4. Number of gender-based violence cases investigated, mediated, sentenced, etc.

### **(2) Authorizing Legislation**

This program is authorized in accordance with Part I of the Foreign Assistance Act of 1961 as Amended. Awards to U.S. organizations shall be administered in accordance with 22 CFR 226

and the Standard Provisions for U.S. Non-Governmental Grantees. The mandatory and other applicable standard provisions for all organization types are available on the USAID internet site [www.usaid.gov/policy/ads/300/303.pdf](http://www.usaid.gov/policy/ads/300/303.pdf).

### **(3) Administration of Award**

Awards to U.S. organizations will be administered in accordance with 22CFR226, OMB Circulars A-21 (for universities) or A-122 (for non-profit organizations), ADS 303 and USAID Standard Provisions for U.S. nongovernmental organizations. For non-U.S. organizations, USAID Standard Provisions for non-U.S. non-governmental organizations apply. Applicants may obtain copies of the referenced material at the following websites:

22CFR 226:

[http://www.access.gpo.gov/nara/cfr/waisidx/06/22cfr226\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx/06/22cfr226_06.html)

OMB circulars:

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

Standard Provisions for U.S. Nongovernmental Recipients:

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

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

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

## **SECTION II: AWARD INFORMATION**

### **(1) Estimated Funding Level**

The total amount of funding currently available for this APS is approximately \$800,000. USAID may choose to fully fund or incrementally fund the selected application(s). The amount of available funding and number of awards are subject to change. USAID reserves the right to make no awards as a result of this APS.

### **(2) Anticipated Start Date of this Award and Performance Period**

USAID anticipates that the start date will be the date of award. The performance period may be up to three years.

### **(3) Award Type and Substantial Involvement**

USAID anticipates awarding one to two cooperative agreements (“Agreements”) to fund successful applications submitted in response to this APS.

USAID will be substantially involved in the program and management performance of this Agreement through technical collaboration on specified program interventions. USAID, including the Agreement Officer’s Technical Representative (AOTR), might provide:

a) Collaboration in establishing annual work objectives and approval of an annual work plan.

- b) Collaboration in assessing progress and identifying issues that arise, which may impact the success of the program.
- c) Collaboration in determining corrective actions, where necessary.
- d) Approval of key personnel and any subsequent changes in the positions during the life of the award.
- e) Establishment of a monitoring and evaluation system.

### **SECTION III: ELIGIBILITY INFORMATION**

#### **(1) Types of Entities that May Apply**

Registered U.S. and non-U.S. non-governmental organizations, non-profit organizations and for-profit organizations willing to forego profit may apply.

This APS is issued as a public notice to ensure that all interested and qualified organizations have a fair opportunity to submit applications for funding. Eligible organizations could include, for example, foundations, non-governmental organizations, faith-based organizations (FBOs), community-based organizations (CBOs), host country organizations, private organizations affiliated with public academic institutions and international non-governmental organizations, private companies, professional associations and consortiums of the above. USAID encourages an approach that establishes partnerships with several partner organizations and builds them into legacy institutions capable of sustaining women's leadership development projects in the future. USAID published in the Federal Register (Vol. 69, No. 202 / Wednesday, October 20, 2004 / Rules and Regulations) new regulations on participation by FBOs in agency programs. This guidance may be found at: [http://www.usaid.gov/our\\_work/global\\_partnerships/fbci/rule.html](http://www.usaid.gov/our_work/global_partnerships/fbci/rule.html).

#### **(2) Potential New Partners**

USAID strongly encourages applications from potential new partners.

#### **(3) Cost Share**

Cost share is not required; however, applicants are encouraged to contribute resources from their own private or local sources for the implementation of this program where feasible.

### **SECTION IV: APPLICATION AND SUBMISSION INFORMATION**

#### **(1) Application Process**

USAID will review applications using a two stage process. Applicants must first submit a concept paper, of up to five pages, directly to USAID before submitting a full proposal. Concept papers must meet the identified needs of this solicitation, the development needs of any proposed countries in the specified regions, and work within the sectors in which USAID operates. For information on the sectors that USAID operates in, please see [http://www.usaid.gov/our\\_work/](http://www.usaid.gov/our_work/). For information on the countries and regions USAID operates in, please see <http://www.usaid.gov/locations/>.

If your proposed project meets the needs of this APS in one or more of the appropriate sectors and geographic regions, prepare a concept paper, of up to five pages, ensuring that the concept meets all APS criteria.

**Do not submit a full proposal unless requested by USAID. Only upon receipt of positive USAID feedback on the concept paper is the applicant requested to put together a full proposal for USAID consideration, using the criteria below.**

The concept paper and full application must be submitted in accordance with the instructions in SECTIONS IV (2), (3) and (4) below.

## **(2) Concept Paper**

In the first stage, all applicants are required to submit a **short technical concept paper**, of up to five pages, that is specific, complete and concise. The concept paper should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The instructions for developing the concept paper should take into account the instructions listed in the next section.

Concept papers will be reviewed in terms of responsiveness to the APS, appropriateness of subject matter, and creativity. Applicants are encouraged to demonstrate how their proposed work will contribute to the greater knowledge base of women's leadership in peace and security, especially within the developing country context..

### Concept Paper Application Instructions

The concept paper must be submitted in Times New Roman, 12 point font, and must include page numbers. Each page must be marked with the APS title and number.

The application for the concept paper must be prepared according to the structural format set forth below:

#### **1 - Cover Page** (one page maximum):

The cover page must include the APS number, and the:

- a. Name and address of organization
- b. Type of organization (eg., for-profit, non-profit, university, etc);
- c. Contact point (lead contact name, address, telephone, fax, e-mail);
- d. Names of other organizations (federal and non-federal as well as any other USAID offices) to whom you are submitting and/or have submitted the application and/or who are funding the proposed activity;
- e. Signature of the applicant's authorized representative.

**2 - Technical approach** (three page maximum): This section should address the program summary and selected objectives in Section I of this document and should include:

- a. Concise title and objectives of proposed activity;

- b. Discussion of the objectives, the method of approach, the amount of effort to be employed, the anticipated results, and how the work will help accomplish USAID's goal of increasing the leadership of women in peace and security, including conflict prevention, resolution and post-conflict reconstruction activities, and to reduce violence against women in conflict contexts; and
- c. Type of support the applicant requests from USAID (eg., funds, facilities, equipment, materials, personnel resources, etc.).

**3 - Supporting information** (one page maximum):

- a. Proposed estimated cost;
- b. Brief cost breakdown (e.g., salaries, travel, etc.);
- c. Proposed optional amount of the applicant's financial as well as in-kind participation, if applicable;
- d. Proposed amount of prospective or existing partner(s) financial as well as in-kind participation, if applicable;
- e. Proposed duration of the activity; and
- f. Brief description of applicant's, as well as prospective or existing partner(s'), previous work or experience.

**USAID will contact selected applicants to request a full proposal based on the information provided in the concept paper.**

### **3. Full Application**

#### **A. General Requirements**

Selected, eligible applicants that have satisfied the requirements of the concept paper will be asked to submit a **full technical and cost application**. The full application must be submitted in Times New Roman, 12 point font, and must include page numbers. Each page must be marked with the APS title and number. The applications must be prepared in accordance with the instructions below. Selection for award will be made in accordance with the evaluation criteria in Section V.

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

Erasures or other changes must be initialed by the person signing the application.

Applicants may be subject to a pre-award financial and management survey, and must demonstrate that they have a rigorous financial and monitoring system in place that will ensure auditable systems and records.

For both the technical and the cost applications, applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

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

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

**B. Format of Application Submission**

The chart below lists each element required for submission of a complete application.

What to submit	Required content	Required form or format
1. Technical Application	Narrative as described in Section IV.C.1	Word
2. Cost Application <ul style="list-style-type: none"> <li>• Application for Federal Assistance</li> <li>• Budget Information – Nonconstruction Programs</li> <li>• Cost Matrix</li> <li>• Cost spreadsheets</li> <li>• Budget narrative</li> <li>• Supporting Documentation</li> </ul>	Per required form, as described in Section IV.C.2.i  Per required form, as described in Section IV.C.2.i.  As described in Section IV.C2.ii  As described in Section IV.C.2.iii  As described in Section IV.C.2.iv.  As described in Section IV.C.2.v.	SF-424  SF-424A  Excel  Excel  Word  Word or PDF
3. Certifications, Assurances, and Other Statements of the Recipient <ul style="list-style-type: none"> <li>• Assurances - Nonconstruction Programs</li> <li>• Certifications, Assurances, and Other Statements of the Recipient (May 2006)</li> </ul>	Per required form, as described in Section IV.C.3.i.  Per required format, as described in Section IV.C.3.ii.	SF-424B  Format attached

## C. Content of Application Submission

### 1. Technical Application

To facilitate the competitive review of the applications, proposals should include the following contents, which adhere to the designated page limits (instructions for major categories are found under section headings).

1. Cover Page: one page maximum
2. Executive Summary: one page maximum
3. Technical Narrative (see section V for evaluation content): 22 pages
  - a. Program Description
  - b. Goal and Objectives
  - c. Background/Problem Statement (incorporating any existing baseline data and gender analyses)
  - d. Explanation of partners and their expected roles including partner and other resources brought to bear if applicable.
  - e. Proposed Interventions/Technical Approach
  - f. Expected Impact: Applicants are required to reflect the proposed results in their responses.
  - g. Implementation Plan

Implementation Plan (up to three years) outlines the timeline for the phasing of interventions. Proposed implementation plan, inputs, outputs, and outcomes are realistic and achievable within the proposed budget and timeframe, and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities. As a starting point and at a minimum, the program-specific appropriate Foreign Assistance Indicators must be identified and included. These can be found at [www.state.gov/f/releases/factsheets2007/78450.htm](http://www.state.gov/f/releases/factsheets2007/78450.htm).  
A plan for monitoring and evaluation must also be included. Include adequate emphasis on scaling-up and achieving broad-based impact where possible and appropriate. Include feasible strategies for sustaining activities beyond USAID funding for this activity, and documenting and sharing key lessons.
  - h. Duration of Activity
  - i. Role of USAID (e.g., facilities, equipment, material, or personnel resources)
  - j. Relevant organizational experiences of recipient and any key partner organizations
  - k. Implementation Schedule

Proposed first year Work Plan presented in matrix format, including proposed activities for the time frame indicated, and identifying partners for activities where appropriate. First year work plan, inputs, outputs, and outcomes are realistic and achievable within the proposed budget and timeframe, and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities. Include adequate emphasis on scaling-up and achieving broad-based impact where possible and appropriate.

- l. Adequate information on key personnel, including name, short description of experience and capacity relevant to proposed position (includes proposed job descriptions and complete Curriculum Vitae (CVs) of all key personnel).

m. Attachments: no page limit

- i. Baseline Data (if it exists)
- ii. Logical Framework
- iii. CV for the proposed Project Director
- iv. Past Performance Information

Applicants must provide a list of all its contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers and email address.

The overall page limit and the individual section page limit for the application must be adhered to. Pages in excess of the stated limitation may not be considered.

There are no page limits for:

- Table of Contents
- Dividers

## **2. Cost Application**

If a full technical proposal is requested, a cost/business application will be required as well. The cost application as an attachment should detail all direct costs associated with the implementation and completion of activities, as well as any indirect costs and program costs such as those related to any sub-agreements and/or contracts as detailed below. Applicants may request awards of up to a total of \$800,000 for the project life of up to three years. This amount is subject to revision depending on availability of funds. Further, apparently successful applicants may be asked to scale back portions of their programs to accommodate funding constraints.

The cost application includes specific cost information for this project and additional required information from the applicant. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID's policy not to burden applicants with undue reporting requirements when the information is readily available through other sources.

The application must also provide evidence that the funds requested are reasonable and would be used in a cost-effective manner. USAID will assess whether the overall costs are realistic for the work to be performed, whether the costs reflect that the applicant understands the requirements, and whether the costs are consistent with the technical application. The application also will be assessed for cost effectiveness, and applications that minimize administrative costs in order to maximize program, outreach, and capacity building activities will generally be considered a better value.

i. Federal Forms

The applicant must fill out the SF-424, Application for Federal Assistance, and the SF-424 A Budget Information Nonconstruction Programs as indicated by the forms. These forms are available at: [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp).

The completed SF-424 A will provide a summary and detailed budget for a period of no more than three years. Programs should be developed within the suggested budget range. If there are any training costs to be funded by this program, identify them as a separate budget line item.

ii. Cost Matrix

The information to be presented under Cost/Business Application must also indicate the amount of funds to be spent by U.S. Foreign Assistance Objective, Area, Element, and Sub-Element. USAID's focus will fall under 2.1.4 Human Rights and 2.4.1 Civic Participation, given current definitions and indicators. Applicants should include an overall summary budget and a detailed annual budget defined by result area, general program activities and specific activities consistent with the information requested below. Specifically, the budgets should demonstrate the resources allocation to achieve the objectives of this program. Refer to <http://www.state.gov/f/> for further details on the U.S. Foreign Assistance Framework.

iii. Cost Spreadsheets

Detailed breakdown of each line item captured in the SF-424 in spreadsheet format. The spreadsheet(s) must be submitted electronically in MS Excel format and text accessible. These spreadsheet breakdowns shall include:

- a. A summary budget;
- b. The breakdown of all costs and supporting justification (justification such as policy, payroll documents, vendor quotes, or specific historical program costs and award number) according to each partner organization (if more than one organization is proposed in a consortium/network approach) involved in the program;
- c. The breakdown of the financial and in-kind contributions of all organizations involved in implementing this Agreement;
- d. Potential contributions of non-USAID or private commercial donors to this Agreement;
- e. The procurement plan for commodities, if any;
- f. Breakdown of management costs: The proposed budget should provide estimates of the program based upon the total estimated costs for the Agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

#### iv. Budget Narrative

The budget must have an accompanying budget narrative and justification that provides in detail the total costs for implementation of the program your organization is proposing. The budget narrative must be written in the third person. The combination of the cost data and breakdowns specified above and the cost notes must be sufficient to allow a determination of whether the costs estimated are reasonable. If the information described below is provided in the cost matrices described above, the information need not be included in the Budget Notes. The following is provided as guidance on issues involving specific types of costs:

1. **Salary and Wages:** Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
2. **Fringe Benefits:** If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, that rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application may propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries. Alternatively, if the applicant has no approved rate, it may elect to directly charge all project expenses.
3. **Travel and Transportation:** The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diem should be based on the State Department published rates. (Applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates.)
4. **Equipment:** Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.
5. **Source and Origin Requirements:** Goods and services provided by the recipients under this USAID-financed award must have their source and origin in the United States (USAID Geographic Code 000). Procurement source and origin requirements under the agreement will be dependent upon the source of funding.
6. **Materials and Supplies:** Specify all materials and supplies expected to be purchased, including type, unit cost, and number of units.
7. **Communications:** Specific information regarding the type of communication cost (e.g., mail, telephone, cellular phones, internet, etc.) must be included in order to allow an assessment of the realism and reasonableness of these costs.
8. **Training:** Provide budgetary information on all training, including the number of people to be trained, the number and cost of each session, and the cost of materials.
9. **Subcontracts/Consultants:** Information sufficient to determine the reasonableness of the cost of each specific subcontract and consultant expected to be hired must be included.

Similar information should be provided for all consultants who are provided under the category for personnel.

10. Allowances: Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.
11. Direct Facilities Costs: Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.
12. Other Direct Costs: This may include report preparation costs, passports and visas fees, training, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), as well as any other miscellaneous costs that directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue, and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
13. Indirect Costs: The applicant should support the proposed indirect cost rate, if any, with a letter from a cognizant U.S. Government audit agency (i.e. its current Negotiated Indirect Cost Rate Agreement) or with sufficient information for USAID to determine the reasonableness of the rates. For the latter, USAID needs: (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.
14. Cost Share: In addition to USAID funds, applicants are encouraged to contribute resources from their own private or local sources for the implementation of this program where feasible. Contributions can be either cash or in-kind and can include contributions from the applicant, local counterpart organizations, project clients, the relevant government(s), and other donors (but not other USG funding sources). The budget must provide a breakdown of the financial and in-kind cost share contributions, if any, converted to dollar value, of all organizations involved in implementing this Agreement. This information should be included both in the SF 424 and the Cost Matrix as indicated on those documents. The cost-share should be discussed in the Budget Notes to the extent necessary to realistically assess these sources and funds and the feasibility of the cost-sharing plan.
15. Alliance Opportunities: USAID encourages, where appropriate and possible given the subject matter, the creation of alliances. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. They make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Their support may take many forms. Mechanisms for collaboration include parallel financing (with common

objectives, clear understanding of roles and separate funding tracks) or pooled resources (with agreed upon and legally binding governance structures and common funding tracks).

16. Program Income (if applicable): The recipient shall account for program income in accordance with 22 CFR 226.24(b)(1) and (b)(2). In accordance with 22 CFR(b)(1), program income earned under this award shall be added to funds committed by USAID and the recipient to the project or program and used to further eligible project or program objectives. Additionally, in accordance with 22 CFR 226.24(b)(2), program income may be used to finance the non-Federal share of the project or objectives.
17. Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants, cooperative agreements, and leader with associate awards. Forgone profit does not qualify as cost-sharing or leveraging.

v. Supporting Documentation

1. Teaming: If the applicant is a consortium, the Cost/Business application must include documents reflecting the legal relationship between the parties. The document(s) should include a full discussion of the relationship between the applicants including identity of the applicant which USAID will treat for purposes of Agreement administration, identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated, and the express agreement of the principals thereto to be held jointly and individually liable for the acts or omissions of the other. If no consortium is involved, the Cost/ Business Application should include a complete discussion, if applicable, of the relationship between the applicant and its partner organizations, how work under the program will be allocated, how work will be organized and managed, and provide copies of any agreements between the partner organizations. In all cases of teaming, the cost information provided in part 2.b of this subsection should indicate the amounts committed to each member of the team. The Budget notes should discuss which team member is bearing a particular cost where appropriate to justify and explain the cost in question.
2. NICRA: A current Negotiated Indirect Cost Rate Agreement (NICRA) with USAID, an Indirect Rate Agreement with another federal agency, or financial statements as described below for the primary recipient and proposed partner organizations must be submitted. Applicants that do not currently have a NICRA from their cognizant agency shall also submit the following information:
  - a. Copies of the applicant's financial reports for the previous three year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
  - b. Projected budget, cash flow and organizational chart; and
  - c. Breakdown justification and indirect rate and its base of application.
3. Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit a copy of their accounting manual and

personnel and policy manual. If a copy has already been submitted to the U.S. Government, the applicant must advise which Federal Office has a copy, and provide a point of contact with contact information (e.g., phone number and email). Alternatively, applicants may file a self-certificate of compliance with USAID standards. The certificate template is available from the USAID point of contact listed in this APS upon request.

4. Applicants must submit any additional evidence of responsibility for the Agreement Officer to make a determination of responsibility. The information submitted must be provided in the third person and substantiate that the applicant:

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

5. 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 Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this contract/agreement.

#### **(4) Submission Instructions**

All materials must be in English.

Concept Paper: The concept paper must be submitted by email to: [WID\\_APS@usaid.gov](mailto:WID_APS@usaid.gov) no later than the deadline on the cover page of this APS or subsequently announced deadlines if additional reviews are announced. All correspondence must include the relevant APS number and title.

Full Application: Applications must be submitted both electronically and in hard copy. For electronic submission use: [www.grants.gov](http://www.grants.gov) following the instructions on the web site. In the event of technical difficulties preventing submission through [www.grants.gov](http://www.grants.gov), the application may be submitted via e-mail to [WID\\_APS@usaid.gov](mailto:WID_APS@usaid.gov). All correspondence must include the relevant APS number and title.

Hard copies must be submitted as set forth below:

One original and two hard copies and an accompanying CD (text accessible) via U.S. mail, courier, overnight mail service, or hand delivered between the hours of 9 A.M. to 4 P.M. local Washington, D.C. time.

Via U.S. Postal Service/UPS/ FedEx:  
Vann Rolfson  
Agreement Officer  
U.S. Agency for International Development  
1300 Pennsylvania Avenue N.W.  
Room 7.10.035  
Ronald Reagan Building; M/OAA/EGAT  
Washington, DC 20523

Hand-carried:  
Roxane Wiser  
Agreement Specialist  
U.S. Agency for International Development  
14<sup>th</sup> Street Entrance  
Ronald Reagan Building;  
Washington, DC, 20523

From the lobby call Ms. Wiser at ext. 20446

## **(5) Other Important Information**

### **A. Branding**

Effective January 2, 2006, all USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates the assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the apparently successful applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy. ADS 320 may be found at the following website: [www.usaid.gov/policy/ads/300/320.pdf](http://www.usaid.gov/policy/ads/300/320.pdf).

### **B. Environmental Procedures**

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. Environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this APS.
2. In addition, the contractor/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 Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

## **SECTION V: EVALUATION CRITERIA**

### **1. Eligible Countries**

USAID has over 80 missions throughout the developing world (defined as Development Assistance Committee recipient countries). USAID will consider proposals related to this APS from all regions. Activities in all countries are subject to legal and policy restrictions that may change without prior notice. Some countries are legally restricted from receiving U.S. government funded assistance.

### **2. Evaluation Criteria for the Concept Paper**

Concept papers will be reviewed in terms of responsiveness to the APS, appropriateness of subject matter, and creativeness. Applicants are encouraged to demonstrate how their proposed work will contribute to the greatest knowledge base of women’s leadership in peace and security, especially within the developing country context.

### **3. Evaluation Criteria for the Full Application**

The technical applications will be evaluated in accordance with the technical evaluation criteria set forth below. An award will be made to be responsible applicant whose application offers the best value to the U.S. Government, considering both technical and cost factors. Applicants should note that these criteria: (1) serve as the standard against which all applications will be evaluated, and (2) serve to identify the significant matters that recipients should address in their applications.

All evaluation factors other than cost, when combined, are significantly more important than cost. The criteria set forth below are of equal importance and the sub-criteria within each criterion are of equal importance.

#### **1- Technical Approach**

- Demonstrated understanding of the different and varied roles men and women play in the perpetuation, prevention and management of conflict and in post-conflict reconstruction.
- Demonstrated understanding of issues related to women’s inclusion in peace and post-conflict reconstruction and knowledge of best practices, particularly in a country or region-specific context. The applicant must also demonstrate how the proposed activities will increase the inclusion of women’s voices and gender related issues into conflict prevention, management and post-conflict reconstruction processes and programs, and develop the capacity of women leaders.

- Degree to which program approach and proposed strategies to build women’s capacity in peace building are creative, innovative, collaborative, and feasible.
- Clear implementation plan as listed in this APS.
- Clear plan to collect baseline data, conduct an evaluation, and document and share good practices and lessons learned.
- Collaboration, inclusion, and strengthening of local partners. Applications that include local implementing partners will be considered favorably.

## **2- Project Management & Institutional Capacity**

- Demonstrated capacity to recognize and adjust to shifting political and social environments over the life of a project that addresses sensitive gender-related issues. Demonstrated institutional capacity to manage (technically, administratively and financially) a project relevant to building women’s leadership capacity in post-disaster reconstruction, especially in addressing sensitive social norms in a culturally appropriate fashion.
- Clear demonstration of how progress and impact will be tracked, measured and reported with clear and appropriate milestones and expected accomplishments, with measurable output and performance indicators.
- Demonstrated long-term experience by key staff in working overseas in developing countries, experience working on gender issues, and language capabilities where appropriate.
- Established and successful institutional presence in at least one geographic region identified in this APS.

## **3 - Past Performance**

- Demonstrated performance in implementation of projects/activities similar in scope and breadth, including evidence of adherence to contract schedules and requirements; timely and thorough periodic reporting; forecasting and controlling costs; and quality of products delivered.
- Successful institutional track record in implementing projects/activities of similar scope, complexity and size.
- A history of reasonable and cooperative behavior; open lines of communication; the ability to follow-up on and resolve outstanding issues; and a commitment to customer satisfaction in previous USG contracts similar in scope and activity.

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

### **(1) Post-Selection Information**

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

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

## **(2) Standard Provisions and Deviations**

There are no standard provision deviations contemplated under this award.

## **(3) General Information on Reporting Requirements**

Program implementation reporting will be determined based on the outcome of the collaborative finalization of the planned program and the delineation of roles and responsibilities. An annual performance monitoring and evaluation plan, using established baseline data and specific, measurable targets and indicators, will also be agreed upon. Financial reporting will be in accordance with the requirements of the obligating document.

## **SECTION VII: AGENCY CONTACTS**

The points of contact for this APS and any questions during the APS process are Agreement Specialist Roxane Wisner and Agreement Officer Vann Rolfson.

Roxane Wisner  
7.10-050 RRB  
1300 Pennsylvania Avenue, NW  
Washington, DC 20523  
rwisner@usaid.gov

Vann Rolfson  
7.10-035 RRB  
1300 Pennsylvania Avenue, NW  
Washington, DC 20523  
vrolfson@usaid.gov

Any prospective applicant desiring an explanation or interpretation of this APS must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment to this APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant(s).

## **SECTION VIII: OTHER INFORMATION**

Issuance of this APS does not constitute an award or commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application.

USAID reserves the right to fund any or none of the applications submitted. Further, USAID reserves the right to make no awards as a result of this APS.

**CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)**

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

**PART I - CERTIFICATIONS AND ASSURANCES**

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

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

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

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

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

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

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

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all

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

## 2. CERTIFICATION REGARDING LOBBYING

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal 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 subrecipients shall certify and disclose accordingly.

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

### Statement for Loan Guarantees and Loan Insurance

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

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

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

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

#### **4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224**

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
  - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities,

weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

b. “Terrorist act” means-

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

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

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

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

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

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

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

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

**5. CERTIFICATION OF RECIPIENT**

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

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

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

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

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

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

Signature \_\_\_\_\_

Date \_\_\_\_\_

**PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

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

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

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

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

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

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

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

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

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

\_\_\_\_\_

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

**NOTICE:**

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

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

**PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

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

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

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

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

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

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

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

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

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

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

**NOTICE:**

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

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

**PART IV - RESERVED**

## **PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

Applicability: The applicant is invited to complete the Survey on Ensuring Equal Opportunity for Applicant, located at the link below, and include it in the application. The applicant's completion of the survey is voluntary. The absence of a completed survey in an application is not a basis upon which the application is determined incomplete or non-responsive.

[http://apply07.grants.gov/apply/forms/sample/FaithBased\\_SurveyOnEEO-V1.2.pdf](http://apply07.grants.gov/apply/forms/sample/FaithBased_SurveyOnEEO-V1.2.pdf)

**PART VI - OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

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

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

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

**3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

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

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

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

(c) Recipients located outside the United States may obtain the location and phone number of

the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

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

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

#### 4. LETTER OF CREDIT (LOC) NUMBER

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

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

#### 5. 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 subrecipient in support of the subgrantee's or subrecipient'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
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source"

means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

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

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

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original

program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic) QUANTITY ESTIMATED UNIT COST PROPOSED DISPOSITION

## 6. PAST PERFORMANCE REFERENCES

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

## 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.