

USAID/DCHA/CMM
Annual Program Statement (APS)
FY 10 Conflict Mitigation and Reconciliation Programs and Activities
APS #M/OAA/DCHA/DOFDA-10-390

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
Bureau for Democracy, Conflict, and Humanitarian Assistance
Office of Conflict Management and Mitigation (USAID/DCHA/CMM)
1300 Pennsylvania Avenue, N.W. Washington D.C. 20523

ISSUANCE DATE: January 19, 2010

CLOSING DATE: March 5, 2010

SUBJECT: USAID/DCHA/CMM Annual Program Statement (APS) for Conflict Mitigation and Reconciliation Programs and Activities (M/OAA/DCHA/DOFDA-10-390)

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of Conflict Management and Mitigation (CMM), invites applications for funding from qualified U.S. and non-U.S., non-profit or for-profit non-governmental organizations (NGOs), and international organizations (PIO or IO) to carry out activities that mitigate conflict and promote reconciliation by bringing together individuals of different ethnic, religious or political backgrounds from areas of civil conflict and war in the countries listed below.

The purpose of this APS is to disseminate information to prospective applicants so that they may develop and submit applications for USAID funding. This APS: (A) describes the types of activity for which applications will be considered; (B) describes the funding available and the process and requirements for submitting applications; (C) explains the criteria for evaluating applications; and (D) refers prospective applicants to relevant documentation available on the internet. USAID/DCHA/CMM anticipates awarding multiple grants and/or cooperative agreements as a result of this APS.

In preparing applications, please refer to the Mission-specific country and regional guidelines in Attachment 1: List of Eligible Countries and Country-Specific Instructions

Africa

Burundi
Democratic Republic of Congo (DRC)
Rwanda
Senegal
Somalia
Uganda (Restricted to Karamoja region)
West Africa Regional
East Africa Regional

Middle East

Yemen

Asia, Europe, and Eurasia

Timor-Leste
Kyrgyzstan
Sri Lanka
Thailand
Regional Development Mission for Asia
Bosnia & Herzegovina

Latin America and the Caribbean

Colombia
Ecuador
Guatemala
Peru

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DCHA/CMM Background

DCHA/CMM envisions an agency that effectively prevents, mitigates and manages the causes and consequences of violent conflict, instability and extremism. DCHA/CMM leads USAID's efforts to identify and analyze sources of conflict, supports early responses to address the causes and consequences of instability and violent conflict, and seeks to integrate conflict mitigation and management into USAID's analysis, strategies and programs.

DCHA/CMM manages this APS in accordance with a Congressional appropriation to provide a central source of funding for reconciliation. To meet Congressional intent, this APS will support "people-to-people" conflict mitigation and reconciliation programs and activities which bring together individuals of different ethnic, religious or political backgrounds from areas of civil conflict and war in the countries listed in Attachment 1: List of Eligible Countries and Country-Specific Instructions. Programs that provide opportunities for adversaries to address issues, reconcile differences, promote greater understanding and mutual trust and work on common goals with regard to potential, ongoing, or recent conflict will receive consideration for funding under this APS.

The Reconciliation Fund managed by DCHA/CMM

The first subject solicitation for USAID's Conflict Management and Mitigation (CMM) Reconciliation Programs Fund was global in scope and launched in 2004. In FYs-2008 and 2009, the program's total estimated cost was \$25,000,000, of which \$9,000,000 was designated to support programs in Israel, the West Bank and Gaza.

For fiscal year 2010, there will be two separate subject solicitations, one for Israel, the West Bank and Gaza (estimated \$10 million), to be posted on www.grants.gov. Please refer to USAID/West Bank and Gaza APS # 294-2010-102. This solicitation is for the global reconciliation program only, and covers the countries listed in Attachment 1: List of Eligible Countries and Country-Specific Instructions (estimated total \$16 million).

DCHA/CMM Contact

A list of USAID Mission/Regional Mission points of contact is provided as Attachment 3: USAID Mission and Regional Mission Points of Contact. Upon award, an Agreement Officer's Technical Representative (AOTR) shall be appointed by the Mission Agreement Officer to provide technical and administrative oversight of the specific award.

For any questions regarding this APS, kindly contact USAID/DCHA/CMM Jessica O'Connor at 202-712-1543 or joconnor@usaid.gov. After the closing time and date for applications, the relevant USAID Mission/Regional Mission Agreement Officer is the official point of contact for all applicant inquiries.

1 APS Scope and Objectives

The objective of this APS is to make significant strides in the overall goal of conflict mitigation, peace, and reconciliation in selected eligible conflict-affected countries (see Attachment 1: List of Eligible Countries and Country-Specific Instructions). In addition, this APS seeks to contribute to USAID’s developmental objectives in an affected country or countries.

“People-to-people” programs are one approach among many to conflict mitigation. This solicitation is intended to fund conflict mitigation programs with a people-to-people approach, and to derive lessons learned and best practices for future people-to-people programming. Lessons learned will be incorporated into future programs and solicitations, and will inform DCHA/CMM’s research agenda for conflict management and mitigation.

Successful applications under this solicitation will describe a people-to-people approach based on a context and conflict analysis that leads to a concrete program change hypothesis. Programs should be based on best practices, build capacity of local partners, and incorporate gender analysis into the proposed approach.

2 Award Information

2.1 Program Duration

The duration of programs funded under this APS is for a minimum period of 12 months and up to 36 months from the date of award. USAID reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

2.2 Anticipated Funding Availability

USAID anticipates approximately US\$16,000,000 will be available to support the program(s) or activity(ies) described herein, although final funding levels will depend on content, quality, number of applications received, needs, availability of funding, and competing priorities. Applications below a minimum amount of US\$100,000 or above a maximum amount of US\$1,200,000 will not be considered.

2.3 Anticipated Number of Awards

USAID plans to make multiple awards under this APS, subject to the availability of funds. Nevertheless, USAID reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

2.4 Type of Award(s)/Substantial Involvement

USAID anticipates that a grant(s) or cooperative agreement (s) will be awarded as a result of this APS. Depending on the application(s) that is/are received and selected, USAID may decide to be “substantially involved” in the implementation of the program, and therefore award a cooperative agreement(s) instead of a grant(s). Cooperative agreements are identical to grants except that USAID may be substantially involved in one or more of the following areas:

1. USAID approval of the recipient's implementation plans (limited to not more frequently than annually);
2. USAID approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);
3. USAID and recipient collaboration or joint participation which includes one or more of the following:
 - a. Collaborative involvement of selection of advisory committee members (USAID may also choose to become a member), if applicable;
 - b. USAID concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;
 - c. USAID approval of a program monitoring and evaluation (M&E) plan (to the extent that such information is not included in the application);
 - d. USAID monitoring to permit direction and redirection because of interrelationships with other projects; and
 - e. USAID authority to immediately halt a construction activity, if applicable.

2.5 Program Income

1. NGOs
If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be **added to** USAID funding (and any cost-sharing that may be provided), and used for program purposes. However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any program income generated under the award(s) will be **deducted from** the total program cost to determine the amount of USAID funding. Program income will be subject to 22 CFR 226.24 for U.S. NGOs or the standard provision entitled "Program Income" for non-U.S. NGOs.
2. PIOs
If the successful applicant(s) is/are a PIO, any program income generated under the award(s) will be **added to** USAID funding (and any non-USAID funding that may be provided) and used for program purposes.

2.6 Authorized Geographic Code

1. NGOs
USAID's rules for the source, origin, and componentry of goods (other than "restricted goods," as described in ADS 312 [<http://www.usaid.gov/policy/ads/300/312.pdf>]), and the nationality of suppliers of goods and services (other than delivery services, as described in ADS 314 [<http://www.usaid.gov/policy/ads/300/314.pdf>]), which are financed by USAID and procured by the recipient under the award(s) resulting from this APS, are set forth in 22 CFR 228 (http://www.access.gpo.gov/nara/cfr/waisidx_08/22cfr228_08.html). These rules do not apply to procurement by the recipient with cost-sharing or program income funds. Except as authorized under USAID's "Local Procurement" rules (see 22 CFR 228.40), applicants should assume the authorized geographic code (see 22 CFR 228.1) for the award(s) resulting from this APS is 000, subject to revision depending on the successful

applications that are selected. For this reason, applicants should justify the rationale for the purchase of any non-U.S. good and services in their applications.

2. PIOs

Please note that USAID's procurement rules do not apply to awards to PIOs unless USAID is the sole contributor to a trust fund established by the PIO. If USAID is the sole contributor, the same rules, as prescribed in subparagraph (a) above for NGOs, will apply.

2.7 Applicant Conferences

USAID missions may offer to host a conference for prospective applicants after this APS solicitation is posted and before the solicitation closes. The USAID mission will announce this through their regular public announcement channels, and USAID/DCHA/CMM will post an amendment to the APS on <http://www/grants.gov> so that all potential applicants are able to look up the time and place for all applicant conferences. Not all USAID missions will offer applicant conferences.

3 Applicant Eligibility

USAID will not accept applications from individuals. Furthermore, other U.S. Government departments and agencies may not apply for USAID funding under this APS. All applicants must be legally recognized organizational entities under applicable law.

3.1 Types and Nationalities of NGOs

1. U.S. and Non-U.S. Non-Profit Organizations

Qualified U.S. and non-U.S. private non-profit organizations may apply for USAID funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

2. U.S. and Non-U.S. For-Profit Organizations

Potential for-profit applicants should note that, pursuant to 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. Forgone profit does not qualify as cost-sharing or leveraging. However, if a prime recipient has a (sub)-contract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the (sub)-contractor is authorized.

3. U.S. and Non-U.S. Colleges and Universities

Qualified U.S. and non-U.S. colleges and universities may apply for funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

4. Registration as a Private Voluntary Organization (PVO)

A local or indigenous PVO, which by definition is a non-U.S. PVOs operating in the same foreign country in which it is organized, that is not already registered with USAID is eligible to receive funding. However, such organizations are encouraged to consider registration. In accordance with 2 CFR 203., a U.S. PVOs and "International PVOs" which by definition is a non-U.S. PVO that performs

development work in one or more countries other than the country in which it is domiciled,. must be registered with USAID to be eligible to receive funding. For more information on registering with USAID as a PVO, please see: http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/reg.html

3.2 “Responsibility” of Applicant

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9. This means that the applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID. Failure to meet these competence standards may lead to removal from consideration of an award.

3.3 New Partners

USAID encourages applications from new partners. However, resultant awards to these organizations may be delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their “responsibility” as discussed above. These organizations should take this into account and plan their implementation dates and activities accordingly.

3.4 Applicants for Additional/Continued USAID Funding of Ongoing Programs

Ongoing projects that demonstrate a significant proposed change in scope or direction in response to a conflict and its contextual analysis, or are an extension of current programs and activities will be eligible for funding. Information on current USAID programs can be found at: <http://www.usaid.gov> and more information about DCHA/CMM programs can be found at: http://www.usaid.gov/our_work/cross-cutting_programs/conflict/

4 Application and Submission Requirements

4.1 General Application Instructions

Applications received by the deadline (see section 4.4.2) will be reviewed for responsiveness to the requirements set forth in this APS, specifically section 4.6.

4.2 Format

1. As detailed further below, the application (composed of the technical and cost sections) is limited to 17 pages (12 for technical application, 5 for the cost proposal) plus specified attachments. Any additional information will not be provided to the technical evaluation committees.
2. Applications must be written in English.
3. Applications should use single-spaced pages with each page consecutively numbered, and use a font not any smaller than Times New Roman Font 12 or a similar size typeset.
4. Applications shall be submitted electronically, by the application deadline, via email attachment using Adobe PDF, Microsoft Word and/or Excel. **Do not submit electronic copies in .zip format.**
5. The application must consist of two electronic files, labeled “Country Name-Organization Name-TECHNICAL-APS- M/OAA/DCHA/DOFDA-10-390” and “Country Name-Organization Name- COST-APS- M/OAA/DCHA/DOFDA-10-390” Printed hardcopies are not requested nor required by the closing time and due date. (Hard

copies and/or supplemental information with live signatures may be requested thereafter by the Agreement Officer or DCHA/CMM.)

6. The subject line of the email transmitting the application must also contain the following: Country name-Organization name-Project title, and the body of the email must contain specific reference to the full title of the application and include full contact information for the sender.

This APS is the official source document for your application. Oral explanations given before submission of the application will not be evaluated; only the written application will be evaluated. Applicants should retain for their records a copy of the application and all attachments/enclosures which accompany their application. USAID will only consider applications conforming to the prescribed format.

As of November 1, 2005, the preferred method of distribution of USAID APS' and submission and receipt of applications is electronically via <http://www.grants.gov> ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. This APS and any future amendments or additions can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the APS or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance. It is the responsibility of the recipient of the APS and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.Gov so that as changes are posted to this and other USG (including USAID) solicitations, alerts will be received.

4.3 Specific Application Instructions

4.3.1 Technical Application

The technical application shall contain the following components:

1. Cover page (separate page, **not more than one page**): The cover page must include the solicitation number M/OAA/DCHA/DOFDA-10-390, names of the organizations/institutions involved (with the name of the lead or primary applicant clearly identified), title of the application, USAID mission or Regional Mission to which the application is being submitted, country name, whether this is a cross-border or multi-country application, and the applicable countries. Any proposed sub-grantees should also be listed. In addition, the cover page should provide a contact person for the primary applicant, including the individual's name, title or position with the organization/institution, mailing address, email address, telephone and fax numbers. Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the applicant, and, if not, the contact information for the appropriate person with authority to negotiate should also be listed.
2. Executive summary (separate page, **not more than one page**): The executive summary must summarize the key elements of the applicant's technical application, including, but not limited to, the technical narrative (see next section), and provide NO COST

FIGURES other than the total amount of USAID funds requested, and any cost-sharing and/or public-private partnerships leveraging, if applicable.

3. Technical narrative (10-page maximum, excluding any attachment pages as specified within this APS): **Applicants must organize the narrative sections of their technical applications in the same order as the evaluation criteria and include the major components below.**

The technical narrative will be evaluated in accordance with the evaluation criteria set forth in section 4.6 below and shall include the following sections:

Approach and Methodology: The application shall clearly articulate the following points throughout:

Context & Conflict Analysis. The application shall identify the sources of conflict and impediments to reconciliation in a brief context and conflict analysis. The analysis shall touch upon the sources of grievance and resilience; the key actors and resources that could facilitate the transformation of grievances into violence; and any upcoming events which might trigger violence. It shall include an analysis of gender dynamics as they relate to the conflict. The context and conflict analysis shall also include a brief description of other donor, government, private sector or NGO activities to address the identified problem, including gaps in current programming and response.

Program Hypothesis. The applicant shall include a program hypothesis that clearly explains the theory or theories of change that underlie the programmatic approach that they have taken in their application. The program hypothesis shall describe the anticipated causal link between the proposed activities and their intended impact on the problems identified in the context and conflict analysis.

Each application shall have a unique theory of change in its program hypothesis. Applicants are encouraged to look at broader literature on theories of change to inform their own program hypothesis.¹ The application shall describe how this hypothesis will be tested through people-to-people activities and the outcomes expected to result from this approach.

People-to-People Approach. Successful applications under this solicitation shall incorporate the people-to-people approach based on a context and conflict analysis that leads to a concrete program change hypothesis and programmatic solution. Proposed people-to-people activities shall address gaps in current responses to a conflict as identified in the context and conflict analysis.

¹ Additional information on Theories of Change as they apply to conflict mitigation and peacebuilding may be found in *Reflective Peacebuilding: A Planning, Monitoring, and Learning Toolkit* available at: http://kroc.nd.edu/sites/default/files/reflective_peacebuilding.pdf or on the *Beyond Intractability* web-site: http://www.beyondintractability.org/essay/theories_of_change/?nid=1256.

Effective programs should be based on best practices, build the capacity of local partners, and incorporate gender analysis into a proposed approach. Such an approach may include (but is not limited to) the following activities:

- Break down barriers amongst parties through personal contact
- Identify and address issues of mutual concern that establish common ground for cooperation and coexistence
- Seek reconciliation for past violence or ongoing grievances between opposing parties in a conflict

Gender Integration. The proposed approach and methodology shall address gender issues in a substantive and integrated manner, describing specific and effective approaches for addressing gender constraints and capitalizing on opportunities. The application should consider the proposed activities' impact on men and women. Applicants should provide a rationale if gender is not an issue for the proposed activity. For more guidance on gender analysis and integration, please see the following references:

- ADS 201.3.9.3 "Gender Considerations" (<http://www.usaid.gov/policy/ads/200/201.pdf>)
- ADS 201.3.11.6 "Project/Activity Planning Step 2: Conduct Project-level Analysis as Needed" (<http://www.usaid.gov/policy/ads/200/201.pdf>)

Best Practices and Lessons Learned. The proposed methodology and activities shall build upon best practices and lessons learned in approaches to conflict resolution, inside the specified country, region, or globally. Best practices and lessons learned may be drawn from the applicant's own experience, academic and professional literature, and/or the experience of other organizations. The application shall demonstrate how best practices and lessons learned will be applied in the proposed approach and methodology.

Impact and Sustainability: The application shall clearly articulate the following points throughout:

Impact The application shall demonstrate how the proposed activities are likely to achieve the desired outcomes based on the proposed approach and methodology. Activities should represent significant strides in the overall goal of conflict mitigation, peace and reconciliation in the identified countries; furthermore, they should contribute to USAID's developmental objectives in the affected country or countries (where appropriate).

Sustainability The proposed activity shall promote, strengthen and be supported by sustainable local organizations that can champion sound concepts, innovative practices and changes beyond the life of the award. One way this can be done is through meaningful partnerships with local organizations. If the proposed activities include partnerships with local organizations, and is between \$600,000 and \$1,200,000, the application shall include a capacity building plan to include building technical skills in conflict and peace-building as well as organizational management capacity.

Capacity building is considered to be organizational and technical strengthening to assist recipients to improve their implementation planning and management, monitoring and evaluation and other organizational systems critical to effective service delivery and organizational sustainability. Illustrative approaches may include: Training for mid-and senior-level staff in personnel, budgeting, program planning, evaluation, or other core operating skills, provision of commodities, and technical assistance. Targeted organizations, by the end of year one, should have in place an organizational development plan.

Organizations applying for funding under this APS under \$600,000 are strongly encouraged to demonstrate how they are fostering the growth of lasting formal and informal peacebuilding institutions beyond the life of the program.

Organizational and Team Capabilities: The application shall clearly articulate the following points throughout:

Organizational and Team Capabilities: The application shall briefly describe the applicant's organizational history and experience. If partners are proposed, their organizational history and experience should be described and the applicant should demonstrate that the partner organization has been consulted and has agreed to participate in the proposed activities. The applicant should demonstrate success in supporting peace and reconciliation activities, people-to-people activities, or positive experience working with the proposed target population in its respective geographic area.

The composition and organizational structure of the proposed project team shall be well described, including team member titles, roles and requisite technical expertise. The team, as backed by the overall organization, should be well matched to the approach and methodology.

The applicant should provide sufficient information on the technical and managerial experience of the project director as well as other relevant project management staff identified by the applicant. The applicant shall provide experienced, qualified personnel in relevant disciplines and areas for project management and professional staff positions.

Performance Monitoring and Evaluation Plan: The application shall clearly articulate the following points throughout:

Performance Monitoring and Evaluation Plan: Results shall be clearly articulated and directly correspond to the stated goals and objectives outlined in the technical application as described in the program hypothesis. Monitoring and evaluation methods shall be specific, measurable, realistic and applicable to the goals and objectives. Proposed indicators shall include the appropriate Peace and Security, Conflict Mitigation and Peace and Reconciliation Processes Element standard indicators as well as gender-sensitive indicators and sex-disaggregated data as appropriate.

Proposed indicators should move beyond collecting data on just inputs and outputs for their program, and propose relevant outcome and impact indicators (or proxies) to measure and track the effect of the program on the parties involved and the potential for conflict. The monitoring plan incorporates indicators for local partner capacity building. For more information on developing indicators, including gender-sensitive indicators, please see the following reference:

- ADS Chapter 203: Assessing and Learning
(<http://www.usaid.gov/policy/ads/200/203.pdf>)

Furthermore, a sample list of USAID's standard indicators for all programs can be found at: http://inside.usaid.gov/EGAT/off-paico/indicators/2008_4_2_master_list_of_indicators.pdf.

The application shall include an illustrative first year activity plan that sets out a realistic outline of tasks and deliverables, anticipated time frames and due dates, and persons responsible for achieving each task. The activity plan shall include benchmarks for local partner capacity building, if applicable. The application shall include plans and resources for a mid-term review of progress and an external final evaluation.

Past Performance References: For purposes of past performance evaluation, applicants shall furnish award numbers and other details with contact information, for two or three similar projects funded over the past three years by USAID, or any other government entity, or third party source. The details shall include the following: name of the organization or agency which funded the program(s), award number, point of contact's name, mailing address, email address and phone number, and the overall dollar value of the program. Newer organizations, or applicants with no related prior grant and/or cooperative agreement awards, are encouraged to apply and remain eligible for consideration. USAID reserves the right to obtain past performance information from other sources including those not named in this application.

4.3.2 Cost Application

The cost application section must not exceed five pages plus specified attachments, and must include the following:

1. Cost Application and Cost application Narrative: The cost application shall clearly show how funds will be used to support the activities proposed in the application's Technical Narrative. The cost application shall display unit costs (if applicable) and costs by year and shall include sub-cost applications for each component. Suggested line items include, but are not limited to, the following: personnel, fringe benefits, office rent, utilities, equipment, communications, local travel, and sub-grants. The Cost application Narrative must explain all costs – and the basis of those costs – contained in the cost application. The cost application narrative shall detail the total costs for implementation of the proposed program for the full program period of up to 36 months.

DCHA/CMM encourages prospective partners to focus resources in project implementation rather than salaries, equipment and supplies. The cost and cost application aspects of applications **will be reviewed for cost realism** in accordance with the evaluation criteria.

2. SF 424, 424A, and 424B (excluded from the five-page limit) should be signed by the applicant and submitted as an electronic file:
 - SF-424, Application for Federal Assistance
 - SF-424A, Cost application Information - Nonconstruction Programs
 - SF-424B, Assurances - Nonconstruction Programs

A link to these forms can also be found at
http://www.grants.gov/agencies/approved_standard_forms.jsp.

3. The breakdown of all costs to each partner organization involved in the program.
4. The breakdown of all financial and in-kind cost share, if any, of all organizations involved in implementing the proposed activities.
5. Potential contributions of non-USAID or private sector donors to the proposed activities (including Global Development Alliances).
6. The USAID-funded portion of the proposed application cost application must be a minimum of \$100,000 and a maximum of \$1,200,000.
7. Signed Assurances, Certifications, and Other Statements, provided as Attachment 4 to this APS, must be provided within the Cost Application electronic file. These pages will not count against the five-page limit.

4.3.3 Attachments

The following optional attachments do not count against the five-page limit:

1. Supporting data/documentation of the various proposed costs, if any.
2. Joint Venture/Partnership agreements or drafts: If the applicant is a joint venture or partnership, the application should clearly identify the lead organization. The financial plan must include a copy of the agreement between the parties to the joint venture/partnership and an explanation of the proposed accounting system to be utilized post-award. The agreement and/or accounting system explanation should be included as an annex to the application which will not be counted against the page limit.

The agreement shall include a full discussion of the relationship between the firms, including: which firm will have responsibility for negotiation of the award; which firm will have accounting responsibility; how work will be allocated, overhead calculated

(note that fee/profit is specifically prohibited), and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

4.3.4 Voluntary Survey on Ensuring Equal Opportunity for Applicants

Executive Order 13279 of December 12, 2002, Equal Protection of the Laws for Faith-Based and Community Organizations, requires select federal agencies, including USAID, to collect data regarding the participation of faith-based and community organizations in social service programs that receive federal financial assistance. The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations (see 4.4.1 below for a link to the survey).

4.4 Submission Instructions and Deadlines

4.4.1 Submission Instructions

Two electronic files, Technical and Cost, inclusive of any allowed attachments must be emailed to conflict@usaid.gov and to the USAID Mission or Regional Mission point of contact (see Attachment 3). **Electronic submissions through <http://www.grants.gov> are optional and do not preclude these delivery requirements.**

Although applications are not required to be submitted through Grants.gov, applicant registration facilitates obtaining a DUNS number and registering with the U.S. government's Central Contractor Registry. Applicants should note that applying through Grants.gov requires registration through the Central Contractor Registry (CCR).

It is the applicant's responsibility to ensure that files are complete and transmitted by the deadline. USAID bears no responsibility for data errors or omissions. USAID may accept applications past the deadline due to transmission difficulties that are not the fault of, or within the control of, the applicant with the approval of the USAID Mission/Regional Mission Agreement Officer.

Facsimile proposal submissions will not be accepted without advance approval of the Agreement Officer. To contact an Agreement Officer, applicants should go through the USAID point of contact for the relevant country/regional mission (see Attachment 3).

The following submission instructions apply depending on the number of countries involved in the proposed activities:

- **Single country activities:** Single country applications should be submitted to the relevant USAID Mission point of contact for review (see Attachment 3).
- **Cross-border and multi-country activities:** Applications for cross-border and multi-country activities should be submitted to the email address of the USAID Mission point of contact in the country where the majority of the activities are slated to take place. If the application is reviewed positively, the USAID Mission will forward the application to

the APS point(s) of contact in the other affected country or countries to secure the Missions' consent to the outlined activities before recommending it for funding.

4.4.2 Application Submission Deadline

This APS is open for six months from the date of issuance, although USAID plans to review applications in batches. Applications received no later than **5:00 p.m. local Mission time on Friday March 5, 2010** will be included in the first batch of applications for review. Please note that USAID plans only one round of application reviews for this solicitation.

This APS may be amended either to establish subsequent deadlines or to indicate that an award(s) has/have been made and that no further funding is available.

4.4.3 Estimated Timeline

After each submission date, participating USAID Missions and Regional Missions will have approximately 30 days to review the applications received and to submit the Mission Technical Evaluation Reports with the applications recommended for funding to DCHA/CMM. Within approximately 30 days of DCHA/CMM's receipt of the Mission Evaluation Reports and funding recommendations, DCHA/CMM will convene a technical evaluation committee to review the Missions' recommendations and select applications to be recommended for funding. These recommendations will then be provided to implementing USAID Missions/Regional Missions for negotiation, responsibility determinations and award. *It can take up to six months or longer for organizations to be notified of the status of their applications.*

Prior to award execution USAID may perform a pre-award survey for organizations that are new to working with USAID or for organizations with outstanding audit findings. Accounting systems, audit issues and management capability questions may be reviewed as part of this process. If notified by USAID that a pre-award survey is necessary, applicants must prepare in advance the required information and documents. A pre-award survey does not commit USAID to make an award to any organization.

4.5 Application Evaluation Process

Applications received by the deadline (see 4.4.3 above) and responsive to this APS will be evaluated in accordance with the criteria set forth in this section of the APS using the process outlined below:

Step 1: Applications shall be reviewed by a USAID Mission/Regional Mission Technical Evaluation Committee (TEC) within approximately 30 days after the submission date. The USAID Mission/Regional Mission TEC will review all applications in accordance with the evaluation criteria set forth in section 5.2.2. If an applicant has submitted an application for cross-border or multi-country activities and the USAID Mission/Regional Mission TEC reviews the application positively and intends to recommend it for funding, the chairperson of that TEC must first secure the concurrence of each affected Mission and Regional Mission for the outlined activities.

Each USAID Mission or Regional Mission will prepare a technical evaluation memorandum to document the review process, rank all applications reviewed and recommend applications to DCHA/CMM for funding.

At the completion of the step one review, the USAID Mission/Regional Mission will notify all unsuccessful applicants that their applications were not forwarded to DCHA/CMM for step two consideration.

Step 2: Upon receipt of the USAID Mission/Regional Mission reports, DCHA/CMM shall convene a TEC in Washington D.C. This TEC shall review all Mission/Regional Mission recommended applications per the APS evaluation criteria and make final recommendations for negotiation and award. The CMM/Washington TEC chairperson will prepare a technical evaluation memorandum to document the review committee's selections for execution by the Mission/Regional Mission Agreement Officer(s).

The final selection for awards will be based on the step two application review and recommendations by the CMM/Washington TEC. At the completion of this step and all necessary procedural elements, USAID/Washington will notify each successful and unsuccessful step two applicant by email.

4.6 Evaluation Criteria (100 points total)

The criteria and sub-criteria listed below serve as the standard against which all applications shall be evaluated. Instructions on proposal preparation with further detail for each section can be found in section 4.

1. Approach and Methodology (50 points)

- a. **Context & Conflict Analysis (5 points):** The extent to which the application identifies the sources of conflict and impediments to reconciliation in a brief context and conflict analysis that includes an assessment of gender dynamics.
- b. **Program Hypothesis (15 points):** The extent to which the application includes a program hypothesis that clearly explains the theory or theories of change that determined the programmatic approach. The extent to which the program hypothesis describes the anticipated causal link between the proposed activities and their intended impact on the problems identified in the context and conflict analysis and is linked to indicators that measure the desired programmatic outcomes.
- c. **People-to-People Approach (25 points):** The extent to which the proposed methodology and activities are rooted in a people-to-people approach to conflict mitigation and reconciliation. The extent to which the application explains how the proposed people-to-people activities will mitigate the sources of conflict and impediments to reconciliation identified in the context and conflict analysis, including any gender-related opportunities or constraints. The extent to which the proposed activities address gaps in current responses to the conflict, as identified in the context and conflict analysis.
- d. **Best Practices and Lessons Learned (5 points):** The extent to which the proposed methodology and activities build on best practices and lessons learned in approaches to conflict mitigation and reconciliation with respect to a country or region.

2. Impact and Sustainability (20 points)

- a. **Impact (10 points):** The extent to which the proposed activities are likely to achieve the desired outcomes based on the proposed approach and represent significant strides in the overall goal of conflict mitigation, peace and reconciliation in the identified countries.
- b. **Sustainability (10 points):** The extent to which the proposed activities promote, strengthen and are supported by sustainable local institutions, including capacity building plans and activities as appropriate.

3. Organizational and Team Capabilities (10 points)

- a. **Organizational Experience (5 points)** The extent to which the applicant(s) demonstrate(s) success in supporting peace and reconciliation activities, people-to-people activities, or positive experience working with the proposed target population in the proposed geographic area.
- b. **Team Capabilities (5 points)** The extent to which the composition and organizational structure of the proposed project team is matched to the approach and methodology, including demonstrated quality of proposed project management staff.

4. Performance Monitoring and Evaluation (10 points)

- a. **Monitoring and Evaluation Plan (5 points)** The extent to which results are clearly articulated and directly correspond to stated goals and objectives as outlined in the approach and methodology. The extent to which the monitoring and evaluation methods are specific, measurable, realistic and applicable to the goals and objectives. Appropriateness of proposed gender-sensitive indicators and sex-disaggregated data.
- b. **Activity Plan (5 points)** The illustrative first year activity plan sets out a realistic outline of tasks and deliverables, anticipated time frames and due dates.

5. Past Performance (5 points)

- a. The extent to which the applicant demonstrates the successful implementation of programs similar in magnitude, complexity, objectives and contexts.

6. Cost Realism and Cost Effectiveness (5 points)

- a. The cost application allocates sufficient and appropriate funding for all elements of program implementation and activities. The cost application maximizes the allocation of resources for program activities, including capacity building, as appropriate.

5 Award and Administration Information

An award shall be made only by the USAID Mission/Regional Mission Agreement Officer upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

5.1 Pre-award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make any award.

5.2 Post-award Reporting

(1) NGOs

Programmatic reporting requirements shall be in accordance with 22 CFR 226.51 and as agreed with USAID prior to program implementation.

(2) PIOs

Programmatic reporting requirements shall be in accordance with the recipient's standard reporting prepared for all donors, unless USAID is the sole contributor to a trust fund established by the PIO (see 2.5 above), in which case, USAID may require the same reporting requirements as for NGOs (see preceding paragraph above).

(3) Financial Reporting

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Quarterly program performance reports will be due 30 days after each reporting period. The final report will be due not later than 90 days after the expiration of the agreement.

Relevant Documentation

Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 226, 2 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), and OMB Circular A-133 for both universities and non-profit organizations or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for U.S. Nongovernmental Organizations.

These policies and federal regulations are available at the following web sites:

- ADS-303:
<http://www.usaid.gov/policy/ads/300/303.doc>
- 22 CFR 226:
http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html
- Applicable OMB Circulars
<http://www.whitehouse.gov/omb/circulars/index.html>
- 48 CFR 31.2:
<http://www.arnet.gov/far/>
- Standard Provisions for U.S. Nongovernmental Organizations:
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 2 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at <http://www.usaid.gov/policy/ads/300/303mab.doc>.

Resulting awards to public international organizations will be administered in accordance with Chapter 308 of USAID's ADS (ADS-308), including the Standard Provisions set forth in ADS-308.5.15.

These documents are available for further information:

- ADS-308
<http://www.usaid.gov/policy/ads/300/308.pdf>
- Survey on Ensuring Equal Opportunity for Applicants
<http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf>
SF-424 Cost application/Cost Application Documents
http://www.grants.gov/agencies/approved_standard_forms.jsp.

5.3 Other Considerations

5.3.1 Environmental Protection and Compliance

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. Awardee environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this FY10 CMM APS.

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.

No activity funded under this FY10 CMM APS 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) for the Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

Responsibility for Draft Environmental Documentation: At the level of an individual Country-level award, the responsibility for drafting an FY10 CMM APS approved Regulation 216 environmental documentation is with the governing USAID bilateral or regional Mission. Final USAID required clearances for environmental documentation are under the authority of the Bureau Environmental Officer (BEO) for DCHA (as described below).

The approved Regulation 216 environmental documentation will address any environmental impacts and mitigation measures. If mitigation measures are needed (i.e., Negative Determination or Positive Determination) then an Environmental Mitigation and Monitoring Plan (EMMP) will be developed and implemented for activities under the grant and/or cooperative agreement.

Environmental Mitigation and Monitoring Plan (EMMP): When the approved Regulation 216 documentation is an IEE that contains one or more Negative Determinations with conditions, the awardee shall: prepare an EMMP describing how the awardee will, in specific terms, implement all IEE conditions that apply to proposed project activities within the scope of the award. The EMMP shall include monitoring the implementation of the conditions and their effectiveness.

Required Associated Documentation: Required with the award include components for: i) environmental budgeting for implementing environmental documentation conditions (i.e., environmental mitigation measures over the Life of the Activity) and ii) Environmental Work Plan.

i) Budgeting for Environmental Compliance: Applicants should ensure that all necessary funding for environmental mitigation measures specified in the IEE. Proposed funds for environmental mitigation should be included in the comprehensive and detailed budgets. These costs should be explained and justified in the budget narrative. The following non-exhaustive list provides examples of activities that may be included for funding under environmental mitigation in the proposed budget: Staff training, including both internal trainings and external and/or international workshops, conferences, seminars, etc.; Capacity building; Biophysical infrastructure and/or construction materials; Mitigation and monitoring; and Periodic environmental consulting.

ii) Work Plan for Environmental Compliance: As part of its initial Work Plan, and all Annual Work Plans thereafter, the awardee, in collaboration with the USAID Contracting Officer Technical Representative (COTR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this grant and/or cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation. The workplan will integrate a completed EMMP or M&M Plan into the initial work plan.

USAID Clearances Required for IEE: Both Washington and Mission clearances are required for the environmental documentation. However, all USAID Regulation 216 compliance

documentation is prepared for the final decision and approval of the DCHA/BEO as referenced in Automated Directives Systems (ADS) 204, *Environmental Procedures*, section 204.3.4a(3).

The Mission may request revisions to the IEE to ensure that objectives, consideration of local conditions and consistency with environmental documentation of other awardees in the same host country are achieved. For this reason, the IEE must first be cleared by Mission. Clearance is mandatory from the Mission Environmental Officer (MEO), Program Manager and Mission Director. Upon receipt of approval from the Mission, Washington AOTRs are responsible for ensuring that all USAID Regulation 216 documentations are submitted to the AO and the DCHA/BEO. In sum, clearances are as follows, in this order:

1. Mission:

- a. Mission Environmental Officer or Regional Environmental Advisor (in non-presence countries)
- b. CMM Mission Officer
- c. Mission Director

2. Washington :

- a. Agreement Officer's Technical Representative
- b. Regional Bureau Environmental Officer (optional)
- c. Agreement Officer
- d. Bureau Environmental Officer for DCHA

Amendments (as Needed): If the awardee plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

Summary of Requirements: USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the APS should therefore include as part of their proposal their approach to achieving **environmental compliance and management**, to include:

- i) The respondent's approach to developing and implementing an [*IEE or EA or environmental review process for a grant fund and/or an EMMP*].
- ii) The respondent's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
- iii) The respondent's illustrative budget for implementing the environmental compliance activities. For the purposes of this APS, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

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

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

5.3.3 USAID Disability Policy – Assistance (December 2004)

The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>

USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this Grant or Cooperative Agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

6 Attachments

6.1 Attachment 1: List of Eligible Countries and Country-Specific Instructions

The following list of eligible countries is derived in part from conflict early warning lists monitored by DCHA/CMM and includes countries that have been identified by USAID as meriting additional conflict mitigation and reconciliation resources. Legislative restrictions and special instructions related to each country may be found at the base of the country list. In addition to those restrictions and instructions, applicants must be mindful that legislative or other prohibitions on assistance may become applicable to a particular country at any time.

Please note that several countries have country specific guidelines for APS applications that must be considered by applicants, as specified below.

Africa

Burundi*
Democratic Republic of Congo*
Rwanda*
Senegal
Somalia*
Uganda (limited to the Karamoja region)*

Middle East

Yemen*

Europe and Eurasia

Bosnia & Herzegovina

Asia

Timor-Leste
Kyrgyzstan
Sri Lanka*
Thailand

Latin America and the Caribbean

Colombia*
Ecuador
Guatemala
Peru*

Please Note: Applications to regional missions can include activities in the following countries, but must be either cross-border and/or multi-country programs. Single country activities may not be submitted to the regional missions. Please also see the guidelines for multi-country and cross-border applications below.

East Africa Regional Mission (Applications to this mission can include activities in: Burundi, Central African Republic, Djibouti, Somalia, Democratic Republic of Congo, Kenya, Rwanda, Sudan, Tanzania, Uganda, and Zambia)

West Africa Regional Mission (Applications to this mission can include activities in: Benin, Burkina Faso, Cameroon, Cape Verde, Chad, Cote D'Ivoire, The Gambia, Ghana, Guinea, Guinea Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Senegal, Sierra Leone, and Togo)

Regional Development Mission for Asia (Applications to this mission can include activities in: Sri Lanka, Nepal, Bangladesh, India, Philippines, Indonesia, Timor-Leste, Thailand, Cambodia, Fiji, Solomon Islands, and Papua New Guinea)

While APS activities are limited to the countries/areas as discussed in Attachment 1, meetings only in a country not on the List of Eligible Countries under this APS, are permissible if the neutrality of the meeting location or the security of participants is an issue. Costs relating to these meetings such as travel and per diem, conference room rental, non-alcoholic beverages at the meetings, may be proposed in the Cost Application subject to overriding USAID policy, U.S. legislative and host/third country restrictions.

Country and/or Region specific guidelines. Please note that the following statements reflect the preferences and requirements of various participating missions, but all applications must still address all of the instructions and criteria outlined above.

Peru

USAID/Peru encourages APS applications that address conflicts that impact upon or stem from resource use or distribution, including but not limited to the extractive industries, water use, land use or distribution, etc. and the impact on local communities.

Colombia

USAID Colombia will prioritize follow-on activities that include Colombian partners. However, should USAID receive a very strong new proposal, especially by a Colombian organization, USAID will consider it.

Burundi

1. People-to-people programming addressing gender-based violence in Burundi;
2. People-to-people programming around the protection and support of the albino population in Burundi

Somalia

The applicants should address one of the following issues (1) land tenure and resource based conflict, (2) advancing the role of women in peace building, (3) promoting the role of civil society and private sector in peace initiatives.

Rwanda

- Applications must use a people-to-people approach and demonstrate a clear understanding of past and current USAID/Rwanda and other donor activities addressing conflict mitigation and reconciliation.
- Applications must use a people-to-people approach and be clearly linked to a broader conflict mitigation or coexistence effort or efforts in Rwanda or add a conflict mitigation or coexistence component to an existing, ongoing project

Democratic Republic of Congo (DRC)

The mission will only consider APS applications that meet one of the following three guidelines:

- Applications must use a people-to-people approach to mitigate conflict or promote reconciliation in Eastern DRC
- Applications must be part of a Great Lakes regional (multi-country or cross-border) activity.
- Through people-to-people approaches to conflict mitigation, peace-building and reconciliation seek to address: a) the nexus between conflict, natural resource exploitation

Sri Lanka

For the purposes of this APS, USAID/Sri Lanka would like to focus on reconciliation nationally in Sri Lanka. USAID/Sri Lanka will only consider applications that meet one of the following two criteria:

1. Applications must use a people-to-people approach to mitigate conflict or promote reconciliation around political divides in Sri Lanka.
2. Applications must use a people-to-people approach to mitigate conflict or promote reconciliation by building linkages between civil society actors. Applications should focus on strengthening minority led civil society organizations in conflict-affected areas and building linkages to other civil society groups across Sri Lanka. Applicants are encouraged to support and partner with a *broad range* of civil society organizations.

Yemen

USAID/Yemen's 2010-2012 Strategy is focused on helping to stabilize targeted regions of the country. USAID's approach is not traditional, but it relies heavily on tried and proven as well as innovative tools from transition and development environments to effect the goals. Program implementation during this strategy period is integrated and multi-sectoral. Awarded efforts under this APS will be technically complementary to and coordinated tightly with the Mission's livelihoods and governance projects. Applicants should design their activities to mitigate the drivers of instability in Yemen. Rapidly responding to community-based initiatives to demonstrate USAID's and the Government of Yemen's commitment to underserved communities also is key. Youth under 25 years old, representing 75% of Yemen's population, will be a particularly important demographic group. Activities will quickly and effectively mitigate critical threats to stability in Yemen by building trust and relationships between communities with historically difficult relations with Yemeni authorities and the citizens in targeted areas. The implementer will partner with and make extensive use of local, Yemeni organizations during the implementation of the project. The eight governorates of greatest priority to USAID are Amran, Al Jawf, Marib, Shabwah, Abyan, Al Dhale'e, Lahj, and Aden.

USAID/East Africa (Nairobi)

The regional mission will only consider applications that promote people to people peace building and reconciliation through strengthening conflict early warning and response networks in the Horn of Africa.

USAID/West Africa (Accra)

The regional mission will only consider proposals that fall under at least one of the following guidelines.

- Multi-year proposals at a minimum of \$1 million
- Proposals concerning multi-country, cross-border activities

USAID/RDMA (Bangkok)

For the purposes of this APS, RDMA would like to focus on building and strengthening regional networks of peacebuilding, and developing a better understanding of the collective experience and knowledge of peacebuilding in the Asia region. Specifically, USAID/RDMA will also consider APS applications for innovative regional approaches that meet the following criteria (not including Afghanistan/Pakistan):

- a) **Developing Regional Peace Networks:** The Asia region has been witnessed a range of national and sub-national conflicts over the recent past. Wherever conflict has emerged, so too have peacemakers and those who strive to mitigate violence and promote community reintegration and development. While donor resources are normally programmed to target one conflict or another, rarely are they made available to link the peacemakers across conflict experiences. RDMA is interested in building and strengthening linkages amongst peacemakers throughout the Asia region through people-to-people actions, analyses, collaboration and efforts to build a community of practice around peacebuilding and conflict mitigation.
- b) RDMA is interested in supporting elements of sub-national peacebuilding efforts that integrate gathering lessons learned from other related sub-national conflicts in the following areas: bringing together stakeholders; good practices; local perceptions of donor roles/value-added in resolving sub-national conflicts; the challenges of sustaining peace and equitable development when the shooting ends (and when donors' interests shift elsewhere); and dissemination this collective knowledge across the region. Proposals focused on sub-national people-to-people peacebuilding should include both direct support to people-to-people activities and a research component. Through these efforts, RDMA would not be supporting the primary peacebuilding effort in a particular country, but would work with partner(s) to develop their linkages to, understanding of, and benefit from the study of other efforts and the relationships built with practitioners outside their home countries. RDMA recognizes that these efforts are often very difficult to fund under bilateral assistance for a particular country.

RDMA is interested in gathering lessons learned from these sub-national conflicts in the following areas: bringing together stakeholders; good practices; local perceptions of donor roles/value-added in resolving sub-national conflicts; the challenges of sustaining peace and equitable development when the shooting ends (and when donors' interests shift elsewhere); and dissemination this collective knowledge across the region. Proposals focused on sub-national people-to-people peacebuilding should include both direct support to people-to-people activities and a research component.

In accordance with legislative restrictions applicable to USAID funds, proposed activities in Ecuador, Northern Mali, Fiji, and Niger may not include direct benefit to or involvement by the host government. For purposes of this solicitation, the definition of "host government" includes the national, district, regional and local levels of government, and the executive, legislative and judicial branches of government.

Proposed activities for Colombia and Sri Lanka should take into account statutory and Executive Order restrictions relating to the furnishing of material support and resources, or engaging in transactions or dealings, with terrorists or terrorist groups. This includes the requirement for licenses issued by the Office of Foreign Assets Control within the U.S. Department of Treasury, when applicable.

Assistance is prohibited to the government of a country where the duly elected head of government of the recipient country has been deposed by military coup or decree unless the President has notified Congress that a democratically elected government has since taken office. Since FY 2002, the section does not apply to assistance to promote democratic elections or public participation in democratic processes.

Assistance to the Government of Fiji is prohibited until the President notifies Congress that a democratically-elected government has taken office.

6.2 Attachment 2: Definitions of Cross-Border and Multi-Country Activities

Cross-border Activities

Proposed activities focus on a unified group (e.g. cultural or ethnic group) where the population straddles a border with a majority of activities in one country. Project areas must be contiguous. As an example, activities might target a group of refugees living in two neighboring countries. Another example might be activities to address tribal conflict between sub-groups that move or maintain strong cultural, economic, or political connections that transcend existing border structures.

Applications for cross-border activities should be sent to the USAID Mission in the country where the majority of the activities are slated to take place. If the application is reviewed positively, and before recommending it for funding, the USAID Mission will forward the application to the APS point of contact in the other affected countries to secure the Missions' consent to the outlined activities. Responsibility for negotiation, award and management of the award will reside with the Mission in the country where the majority of the activities take place.

In order for an application to be considered eligible for review, all of the countries directly affected by the activities proposed in the application must be included in the APS' List of Eligible Countries (see Attachment 1: List of Eligible Countries and Country-Specific Instructions).

Multi-country Activities

Proposed activities take place in non-contiguous and/or disparate geographic areas but the project's focus must have a unifying element or rationale such as targeting a unified cultural group, shared environmental issue, etc.; for example, nomadic populations, the Mekong River Delta region, or Somali refugees in the Horn of Africa.

Applications for multi-country activities should be sent to the point of contact for the relevant USAID Regional Mission (see Attachment 3). If more than one Regional Mission would be affected, applications should be submitted to the Regional Mission with responsibility for the country/countries where the majority of activities are slated to take place. If the application is reviewed positively, and before recommending it for funding, the Regional Mission will forward the application to the USAID Mission APS points of contact in the affected countries to secure the Missions' consent to the outlined activities. Responsibility for negotiation, award, and management of the award will reside with the Regional Mission.

6.3 Attachment 3: USAID Mission and Regional Mission Points of Contact

A list of USAID Mission/Regional Mission points of contact is provided below. Upon award, an Agreement Officer's Technical Representative (AOTR) shall be appointed by the Mission Agreement Officer to provide technical and administrative oversight of the specific award.

For any questions regarding this APS, kindly contact USAID/DCHA/CMM Jessica O'Connor at 202-712-1543 or joconnor@usaid.gov. After the closing time and date for applications, the relevant USAID Mission/Regional Mission Agreement Officer is the official point of contact for all applicant inquiries.

Country	Point of Contact	Email	Address	Telephone
Bosnia & Herzegovina	Mirjana Valjevac Kristine Herrmann-DeLuca	mpopovic@usaid.gov kherrmann@usaid.gov	USAID/Bosnia-Herzegovina 39 Hamdije Cemerlica 71000 Sarajevo Bosnia-Herzegovina	387 33 702-300
Burundi	Lily Beshawred Grace Kabare Seconde Nizigiyimana Jim Anderson	lbeshawred@usaid.gov gkabare@usaid.gov nizigiyimanas@state.gov andersonjm1@state.gov	Burundi Program Manager, USAID/EA/LPC Office, P.O. Box 629, Village Market 00621, Nairobi, KENYA	254-20-862-2000
Colombia	Sandra Pabon Diego Garcia	spabon@usaid.gov dgarcia@usaid.gov	USAID/Colombia Embajada de EEUU Cra 45 #24B - 27, Bogota DC Colombia	57 1 383 4191
Democratic Republic of Congo	Clement Kashala	ckashala@usaid.gov	USAID/DRC Avenue Isiro, No. 198, Kinshasa/Gombe DRC	081-700-5701
Ecuador	Paulyna Martinez Sofia Villalba	pmartinez@usaid.gov svillalba@usaid.gov	USAID/Ecuador Avenida Colombia No. 1573 y Queseras del Medio Quito- Ecuador	593-2-398-5591 593-2-398-5071
Guatemala	Patty Sigui Teresa Robles	psigui@usaid.gov trobles@usaid.gov	USAID/Guatemala KM 6.5 Final Boulevard Los Próceres, Santa Catarina Pinula, Guatemala, C.A.	(502) 2422 4000
Kyrgyzstan	Andrew Segars Diane Cullinane	asegars@usaid.gov dcullinane@usaid.gov	USAID/Kyrgyzstan Park Palace Building 41 Kazibek Bi, Street 050100 Almaty Kazakhstan	+7-7272-507612
Peru	Claudia Rohrhirsch Bruce Abrams	crohrhirsch@usaid.gov babrams@usaid.gov	USAID/Peru Av. La Encalada Monterrico - Surco Lima 33, Peru	511-618-1240
Rwanda	Tye Ferrell Gilbert Mwenedata	tferrell@usaid.gov gmwenedata@usaid.gov	USAID/Rwanda 2657 Avenue de la Gendarmerie. Kigali, Rwanda	250-252-596400
Senegal	Kathryn Lane	klane@usaid.gov	USAID/Sénégal Petit Ngor B.P. 49 Dakar	(221) 33-869-6161

			Sénégal	
Somalia	Maura Barry Hodan Hassan	Mabarry@usaid.gov hohassan@usaid.gov	USAID/East Africa Box 629 Village Market 00621 Nairobi Kenya	254 20 8 622000 ext. 2205
Sri Lanka	Mark Silva Saliya Navaratne	msilva@usaid.gov snavaratne@usaid.gov	USAID/Sri Lanka American Center; 44 Galle Road; Colombo Sri Lanka	94-11-249-8000
Thailand	Michael Stievater Michael Bak	mstievater@usaid.gov mbak@usaid.gov	USAID/Thailand GPF Withthayu Tower A, 10th Floor 93/1 Wireless Road Bangkok 10330 Thailand	662-263-7481
Timor-Leste	Eileen Derby Ana Lorenca Guterres Thomas Stephen Maria Rosario Arenas	ederby@usaid.gov aguterres@usaid.gov tstephens@usaid.gov marenas@usaid.gov	USAID/Timor-Leste Dr. Sergio Vieira de Mello Road, Farol, Dili	+670 332 2211/2
Uganda	Sam Nagwere Randy Harris	snagwere@usaid.gov rharris@usaid.gov	USAID/Uganda A&A Office, Attn: Sam Nagwere; Plot 1577, Ggaba Road; P.O Box 7856, Kampala, Uganda	256-414-306-001
Yemen	Salwa Sarhi Sean Jones	sarhism@state.gov jonessmx@state.gov	USAID/Yemen American Embassy Sa'awan Street P.O. Box 22347 Sana'a, Yemen	967-1-75-2095

Contact Information for Regional Missions

USAID/East Africa	Emily Kronic (Regional Platform)	ekronic@usaid.gov	USAID/East Africa Regional Conflict Mitigation and Governance (RCMG) Office PO Box 629 Village Market 00621 Nairobi, Kenya	254-20-862-2333
USAID/West Africa	Edward Soyir- Yariga Kevin Sharp	Esoyir-yariga@usaid.gov ksharp@usaid.gov	USAID/West Africa Contracts/Grants Office No. 24 Fourth Circular Rd, Cantonments, Accra. P.O. Box 1630	(233) (21) 741 200
USAID/Regional Development Mission Asia (RDMA)	Michael Stievater Michael Bak	mstievater@usaid.gov mbak@usaid.gov	USAID/ Regional Development Mission for Asia	662-263-7477

6.4 Attachment 4: Certifications, Assurances, and Other Statements of the Applicant/Recipient

The following clarifications and explanations are provided to Attachment 4 to this APS for Certifications/Assurances.

- A. Reference PART I, item 5. CERTIFICATION OF RECIPIENT. The Application No. should be left blank. Under “Name of recipient,” indicate the person at your organization authorized to negotiate and sign award documents. For the “Certification of Recipient,” generally either the head of the organization or the contract person with authority to negotiate, should provide the signature.
- B. Under PART II – KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING, the principal investigator or Project Director should complete and sign this. Prior to the time of any award, the Agreement Officer’s Technical Representative (AOTR) is responsible for identifying any other key individuals. If the principal investigator or Project Director, is not currently available, this can wait to prior to the time of award.
- C. PART III – PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING, refers specifically to individuals involved in any participant training process. If applicable to the Application, this can wait until the time of award or post-award.
- D. PART IV – CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED “CONDOMS” AND “PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING is limited in applicability only to those Applications involving HIV/AIDS. The Name of Applicant is the organization, the requested Typed Name and Title refers to the person at your organization authorized to negotiate and sign award documents.



Certifications, Assurances, and Other Statements of the Applicant/Recipient

Certifications, Assurances, and Other Statements of the Applicant/Recipient²
(May 2006)

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Part V – Survey on Ensuring Equal Opportunity for Applicants

Part VI – Other Statements of Recipient

² 07/25/07

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

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

Part I – Certifications and Assurances

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

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

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

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

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

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

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

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

(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.

APS/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 assister, 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 – Certification of Compliance with the Standard Provisions Entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking.”

Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:

“[Recipient's name] certifies compliance as applicable with the standard provisions entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking” included in the referenced agreement.”

APS/APS No. _____

Application No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

Part V – Survey on Ensuring Equal Opportunity for Applicants

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

<http://www.ed.gov/fund/grant/apply/appforms/surveyeo.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.
<hr/>			
<hr/>			
<hr/>			

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.

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
_____	_____	_____
_____	_____	_____

(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 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/QUANTITY DESCRIPTION (Generic)	EST. UNIT COST	GOODS/ COM- PONENTS	PROB. SOURCE	GOODS/ COM- PONENTS	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/QUANTITY DESCRIPTION (Generic)	EST. 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/QUANTITY DESCRIPTION (Generic)	EST. UNIT COST	PROBABLE SOURCE (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/QUANTITY DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
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6. Past Performance References

On a continuation page, please provide 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.