



USAID
FROM THE AMERICAN PEOPLE

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Eastern Standard Time

Subject: Request for Applications (RFA) Number: **RFA-OAA-12-000021**
Democracy Grant and Fellowships Program (DGF)

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from all qualified U.S. based-non-profit private voluntary organizations, universities or Institutions of Higher Education to implement a program entitled “Democracy Grant and Fellowships Program (DGF).” The overall goal of the program is to provide technical assistance to USAID’s Center of Excellence on Democracy, Human Rights and Governance to help develop a pool of committed democracy, conflict and humanitarian assistance professionals at the junior, mid- and senior-levels; to strengthen relations between USAID and academic, think-tank and research organizations; and to promote research and innovative solutions to democracy, human rights and governance programs. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the application of the program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31, may be paid under the Cooperative Agreement.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

USAID expects to award one Cooperative Agreement based on this RFA. Subject to the availability of funds, USAID intends to provide approximately \$33,146,000 in total USAID funding to be allocated over a Five (5) year period. USAID reserves the right to fund any or none of the applications submitted.

Awards will be made to the responsible applicants whose applications are most responsive based on the evaluation factors and all other terms and conditions in this RFA offer to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application.

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

letter and the following:

1. Section I Funding Opportunity Description
2. Section II Award Information
3. Section III Eligibility Information
4. Section IV Application and Submission Information
5. Section V Application Review Information
6. Section VI Award and Administration Information
7. Section VII Agency Contacts
8. Section VIII Other Information
9. Section IX Annexes

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

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

Applications must be received by the closing date and time indicated at the top of this cover letter. Late or incomplete applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

USAID reserves the right to reject any or all applications received. Additionally, final award of any resultant Cooperative Agreement will not be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. Applications are submitted at the risk of the applicant; should circumstances prevent the award of this agreement, all preparations and submissions costs are at the applicant's expense. The deadline for receipt of questions is May 4, 2012. Questions should be put in writing and submitted to Iemmanuel@usaid.gov and Ofaye@usaid.gov .

Thank you for your interest in USAID programs.

Sincerely,

/S/

Ousmane Faye
Agreement Officer
USAID

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ACRONYMS

AAPD	Acquisition & Assistance Policy Directive
ADS	Automated Directives System
AO	Agreement Officer
AOR	Agreement Officer Representative
AOTR	Agreement Officer's Technical Representative
CA	Cooperating Agency
CCR	Central Contractor Registration
CFR	Combined Federal Regulations
CFR	Code of Federal Regulation
CPS	Core Project Staff
DGF	Democracy Grant and Fellowships Program
DQA	Data Quality Assessment
DRG	Democracy, Human Rights and Governance (DRG)
DUNS	Data Universal Numbering System
EA	Environmental Assessment
EEO	Equal Employment Opportunity
EMMP	Environmental Mitigation and Monitoring Plan
ER/F	Environmental Review / Form
FICA	Federal Insurance Contributions Act
FSN	Foreign Service National
GDP	Gross Domestic Product
M&E	Monitoring and Evaluation
M&M	Mitigation and Monitoring
MOU	Memorandum of Understanding
MSI	Minority Serving Institution
NDC	Negative Determination with Condition
NGO	Non-governmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement
OAA	Office of Assistance and Acquisitions
OMB	Office of Management and Budget
OPM	Office of Personnel Management
PD	Professional Development
PDMS	Office of Professional Development and Management Support
PMEP	Performance Monitoring and Evaluation Plan
PMP	Performance Monitoring Plan
POC	Point of Contact
PPR	Performance Plan and Reporting
PVO/s	Private Voluntary Organization/s
RFA	Request for Application
SF	Standard Form
TEC	Technical Evaluation Committee
USAID	United States Agency for International Development
USG	United States Government

SECTION I. FUNDING OPPORTUNITY DESCRIPTION

PROGRAM DESCRIPTION

1. PURPOSE

The purpose of this project is to provide technical assistance to USAID's Center of Excellence on Democracy, Human Rights and Governance to help develop a pool of committed democracy, conflict and humanitarian assistance professionals at the junior, mid- and senior-levels; to strengthen relations between USAID and academic, think-tank and research organizations; and to promote research and innovative solutions to democracy, human rights and governance programs.

2. BACKGROUND

The United States Agency for International Development (USAID) has supported democratic development for twenty-five years, providing assistance to over 100 countries with a cumulative total investment of more than \$11 billion. USAID currently spends over \$2 billion a year on a broad range of programs covering justice, human rights, peace and security; the development of democratic institutions in civil society, local governments, political parties, elections and legislatures; and good governance initiatives to fight corruption and improve government effectiveness and accountability.

Other multilateral and bilateral donors have entered intensively into some of these fields, often in coordination with USAID. With USAID's objectives and commitment to success comes the increased demand for first class democracy, human rights and governance professionals to assist in design and the implementation of our programs, and for research and innovations to map out new strategies and activities in the democracy, human rights and governance (DRG) sector.

The USAID Center of Excellence on Democracy, Human Rights, and Governance (DCHA/DRG) serves as an organizational model for USAID's transformation into an evidence-based learning organization. The Center aims to become a major source of knowledge about what works, and what does not work, in advancing democratic governance and human rights globally. In short, the Center will create knowledge, disseminate knowledge, and assist field missions to apply this knowledge in their future programs. In order to accomplish these goals, all levels of technical experience will be needed to support USAID democracy, human rights and governance programs.

A main objective of DGF is the development of a pool of diverse development professionals who are able to build upon their skills and gain exposure to international DRG. At the same time, just like in any other field, research and innovation are critical to success of the DRG foreign assistance. With optimized programs and funds, USAID recognizes that it cannot afford to be complacent and that success through research and innovation is the best strategy to promote democracy, arrest growing authoritarianism and mitigate conflicts around the world. Promoting research and innovation will be the focus of the small grants component of DGF.

The Democracy Fellows program started in 1995 and has been re-competed every five years. Its mission has been to promote the advancement of democratic practices in

emerging and transitional democracies. It has done it by placing experienced democracy and governance professionals within USAID. Typically, Democracy Fellows have worked on research and evaluation, piloting new methodology designs, indicator development or have started up programs in new DRG sub-fields such as anti-corruption or new media. To date, the program has graduated 68 fellows of whom 27 have been placed at USAID missions overseas or non-governmental organizations. The Democracy Grant and Fellowships program envisioned under this RFA builds on lessons learned from the previous Democracy Fellows programs and expands the scope of work to address new needs of the DRG Center as well as to bring the new fellowship program in line with the best practices of other USAID fellowship programs.

3. GOALS OF THE DEMOCRACY GRANT AND FELLOWSHIPS PROGRAM

The goal of DGF is to improve the effectiveness of USAID's democracy, conflict and humanitarian assistance programs in developing countries by developing and increasing the capacity of international development professionals, as well as to promote research and innovation in these sectors. Desired results of DGF include:

- Developing a pool of committed democracy, conflict and humanitarian assistance professionals at the junior, mid- and senior-levels who are able to build upon their skills and gain exposure to international development programs;
- Providing for the professional development of fellows through field experience and a range of other career development opportunities;
- Strengthen relations between USAID and academic, think-tank and research organizations;
- Promote innovative solutions to democracy, conflict and humanitarian assistance programs.

Fellows placed into the program for full-time, part-time or short-term appointments will assist USAID in global leadership efforts, research, knowledge management, and advocacy and program management. Fellows and interns in DGF will be afforded the unique opportunities to assist with the accomplishment of Agency-specific strategic democracy, conflict and humanitarian assistance objectives, work alongside renowned development experts, obtain field experience, and attend professional development trainings and workshops offered by DGF.

DGF represents a continuation of Democracy Fellowship programs that have been implemented by the DRG Center and its predecessors for about 17 years, the most recent being the World Learning Democracy Fellowship Program. At time of award, there will be a number of fellows at various stages of their fellowships that will need to "roll over" to the new program. Continuation of these fellows through the end of their tenure allows for the continuity of their critically needed technical support to USAID.

4. DELIVERABLES UNDER THIS PROGRAM DESCRIPTION

Based on the technical needs and the learning agenda of the USAID Center of Excellence on Democracy, Human Rights and Governance and analysis of the performance of past fellowship programs, DGF aims to provide professional development opportunities by identifying, recruiting, supporting, training, and supervising interns, junior, mid-and

senior level professionals in the DRG field with transferable expertise immediately useful to USAID. The program at a minimum will include fellowships, internships, facilitation of a DRG Speaker Series, and administration of an innovation and research grants program as key components.

1. Democracy Fellowships

It is anticipated that DGF will support regular full-time fellows as well as part-time and short-term fellows.

Full-time fellows will be exceptional, highly motivated junior to senior-level professionals to be placed at USAID offices or other US Government agencies to work on DRG programs. Supervision of all fellows will be done under the terms of this Cooperative Agreement. DGF aims to develop the right mix of technical expertise. This includes ensuring that all levels of fellows are actively being recruited and placed into the program. The coordination of fellowship placements, recruitment process, and support of fellows by the grantee of this cooperative agreement are considered core elements of this component. Fellowships will respond to a range of technical assistance needs in the areas of democracy, conflict mitigation and humanitarian assistance. The duration of regular full-time fellowships is two years with an option to extend annually for an additional two years.

Part-time and short-term fellows. In line with the concept of the knowledge worker, and in order to strengthen relations between USAID and academic, think-tank and research organizations, the program will support part-time and short-term fellows. Part-time fellows can be hired for the same duration as regular full-time fellows but can work for USAID on a part-time basis while maintaining their existing positions at their home institution. This arrangement may be suitable especially to senior level fellows. Employers of all fellows will have to work on organizational conflict of interest issues. Short-term fellows can be junior to senior level and may be recruited to work on specific research projects or policy papers for USAID. Duration of short-term fellowships can be six months to one year. Part-time and short-term fellowships are intended to offer USAID more flexibility when collaborating with academic and think-tank organizations as well as make it possible for talented and exceptional professionals who otherwise may not be able to become full-time fellows to gain experience with international development programs and contribute to advancing USAID goals.

- a. Identification of Placements

Fellows may be located throughout USAID, other USG agencies or implementing organizations consistent with the mandate of DGF. All placements are made based on funding availability.

Typically, fellowship placements replace outgoing fellows and/or represent new requests. In both instances, these requests are to be generated by USAID or the host organization. For placements at non-USAID locations, the requesting organization must work closely with the Agreement Officer's Technical Representative (AOTR) to ensure that the fellow is working on USAID-project related activities. For USAID placements, the requesting bureau or office will work closely with the AOTR to ensure that these placements are strategic; respond to the needs of the organization and to USAID goals and objectives.

Eligibility to become a candidate for placement into the fellows program includes the following requirements:

- Full-time fellows must not have worked inside USAID as a technical professional (Direct-Hire, Non-Direct Hire, PSC) for more than five years cumulatively. This eligibility requirement does not apply to part-time or short-term fellows;
- Must not have worked as a fellow on any fellowship program within USAID for a combined total of four years cumulatively; and
- Must be a US Citizen or permanent resident.

Failure to meet these requirements deems the individual as ineligible for consideration to become a candidate for a fellowship position. Furthermore, all placements will require concurrence by the AOTR and the sponsoring office or organization before a candidate may be placed. Candidates will be identified based on the requirements described in the position description prepared by the sponsoring organization or office. The program description must identify specific objectives and outcomes that not only contribute to the fellow's professional development but also contribute to USAID's development objectives.

b. Program Descriptions and USAID Regulations

Program descriptions for placements need to include sufficient information to describe the work of the requesting office or organization, essential duties of the position, how the duties of the position relate to the larger division, office, bureau, agency, and/or initiative development objectives. Though not involved in salary negotiations, the requesting organization, with guidance from the implementing partner, will determine at which fellowship level the position will be placed.

Fellows serve as technical advisors and provide advice on technical matters but may not perform inherently governmental functions as defined in the Office of Management and Budget (OMB) Circular A-76 as well in more recent OMB guidance issued in 2011 (see Federal Register, Vol. 76, No. 176, Sept. 12, 2011). The following criteria on the use of fellows and the conditions that govern their sustainability for placement constitute USAID's policy. Fellows:

- Shall receive technical guidance, counsel, operational, and procedural oversight from USAID employees;
- Shall not be directly supervised by, nor enjoy an employer-employee relationship with USAID employees (Agency employees may not exercise fundamental supervisory responsibilities such as directing and assigning work, approving leave, rewarding superior performance, or disciplining fellows);
- Shall not directly supervise USAID employees;
- Shall not officially represent the USG;
- Shall not be used to accomplish the inherently governmental functions of the Agency;
- Shall not have access to proprietary or confidential personnel information;
- Shall not encumber direct hire positions; and
- Shall not exceed two years work within the program unless a request for an extension has been approved by the AOTR and the sponsoring office, up to a limit of four years total work.

As a matter of policy, an “inherently governmental function” is a function that is so intimately related to the public interest as to mandate performance by Government employees.

c. Recruitment, Review and Selection of Candidates

The recruitment process will be led by USAID. It shall be transparent and shall not discriminate on the basis of race, color, sex, religion, national or ethnic origin, veteran status, handicap or sexual orientation and include a broad representation of US universities, research organizations, think-tanks and other similar organizations.

Specific criteria for review and selection of eligible candidates will include:

- Successfully meets fellowship placement eligibility requirements;
- US citizenship or US Permanent Resident provided that there are no security restrictions. US Citizenship is required for regular full-time fellows. Part-time or short-term fellows and all other positions that do not require a national security clearance can be US citizens or US permanent residents;
- At least JD or Masters level training in international relations, public administration, international affairs, law, human rights, political science, sociology or a related social science or similar areas of democracy promotion with relevant experience;
- Appropriate interpersonal and cross-cultural skills; and
- Appropriate level of experience.

In addition to the above, all fellows should possess relevant skills or experience with respect to gender integration, i.e., understanding and addressing gender inequalities and differences in the way that males and females may be affected by, contribute to, or benefit from the work that fellows will be engaged in during the term of the fellowship.

USAID recognizes that the cooperative agreement grantee serves as an employer and is therefore responsible for conducting all negotiations, including contracts covering salary, compensation, benefits, and logistics. However, USAID will determine at which GS grade level the fellowship position will be placed. This determination will be used to negotiate a fellow’s stipend within that GS grade pay scale. When determining the fellowship placement, USAID and the implementing partner will also consider the fundamental fact that the fellowships are not offers of employment, and that their educational value to the fellows include dimensions not usually found in the latter.

Benefits packages for full-time fellows provided by applicants to this RFA should be equal if not better than what has been offered to fellows of other USAID fellowship programs such as the Global Health Fellows Program (<http://www.ghfp.net/>) or the AAAS Science & Technology Policy Fellowships (<http://fellowships.aaas.org/index.shtml>). At a minimum, the cooperative agreement grantee’s benefits package must include a selection of health insurance plans (medical, dental), life insurance, accident insurance, workman’s compensation, long-term disability, medical evacuation, bereavement leave, retirement contribution, vacation and sick leave, as well as workplace holidays as mirrored by the federal government. Part-time or short-term fellows can be hired under other arrangements, for example, as self-employed contractors by the cooperative agreement grantee.

The cooperative agreement grantee will be responsible for the on-going supervision and on-going support of all fellows and interns under this program and will be required to take corrective action in the case of fellows' or interns' performance or discipline issues, up to and including removal. A performance evaluation system with a written evaluation, including a 360 feedback system with USAID input, is required as part of the fellows supervision process. The performance management system must be implemented with active participation from the sponsoring organization, should be sufficiently developed to address the fellow's professional development needs, while not being overly cumbersome to on-site managers. Fellows on two-year appointments will need to receive a satisfactory performance evaluation at the end of each year. If the evaluation uncovers performance of a level unsuitable to USAID, USAID reserves the right to terminate the fellow tenure. On-going support by the grantee of all fellows and interns will include but not be limited to the provision of supplies, management and monitoring of computers, professional development, travel, medical clearances, performance management, etc.

d. Orientation, Oversight and Support of Fellows

The cooperative agreement grantee should be responsible for the logistical, administrative and technical support of the fellows during their assignments.

For overseas assignments or short-term TDYs to the field, the cooperative agreement grantee handles the pre-departure activities including some or all of the following: physical exams, immunizations, visas, travel arrangements, personnel and administrative matters, and other activities as needed.

The grantee should also be responsible for providing adequate orientation to the fellows prior to beginning their assignment. This orientation will introduce them to USAID and prepare them for their assignment. It will include briefings and meetings with knowledgeable individuals as well as country-specific briefings and background materials as needed.

The grantee should provide oversight and monitor fellows' progress in their assignments. An advisor or mentor may be assigned to each fellow. The Project Director of the DGF Cooperative Agreement will maintain regular contact with the fellows throughout their assignments, receive and review their reports, identify problems and take corrective actions in consultation with USAID. As mentioned above, the grantee should propose a formal performance evaluation system, including a feedback system as part of the fellows' supervision process.

2. DRG Learning Initiative (Internships and DRG Speaker Series and Workshops)

For many years, the DRG Center and its predecessor offices have been at the forefront of implementing initiatives that have promoted organizational learning in the DRG sector and have focused on diversifying the workforce. The DGF program will build on this work and will support the following learning and exchanges activities:

Internship program. This activity is expected to help interns gain critical field-based experience in the DRG sector with USAID/Washington or with the USAID field missions. These internship opportunities can strengthen the interns' competitiveness for future employment opportunities upon matriculation from their academic programs.

As demonstrated by the experience of other internship programs at USAID, students of diverse backgrounds have benefited from exposure to international development programs. It is expected that undergraduate and graduate level internships and/or some other innovative mechanism will be supported under DGF. USAID is open to other approaches that have the potential for expanding the pool of students and individuals in terms of background, experience, and interest in international development.

The duration of internships are meant to be relatively short, up to six months but may be extended for up to a year based on funding and mutual agreement of the requesting organization. Internships will focus on a few results as identified in the intern's program description developed by the implementing partner in collaboration with the requesting organization. As with fellowships, identification of placements for interns, site development, recruitment, review, and selection of candidates are core elements of this component. It is expected that the same considerations and criteria used for fellowships will be used for the internship component as well. Program descriptions will be written for each internship opportunity outlining specific work to be accomplished during the internship and articulate contributions to be made to USAID's DRG development goals.

DRG Speaker Series and Workshops. At the request of the DRG Center, the contractor will make necessary logistical arrangements to bring outside speakers to present at USAID supported events. The purpose of the DRG Speaker Series and Workshops is to expose USAID DRG membership to the latest research, thinking and innovations in the field of democracy, human rights and governance.

3. Fellows Professional Development

Professional development activities are integral components of a fellow's experience and contribute to their achievement of personal, professional and organizational goals. Under the previous Democracy Fellowship program fellows participated in an annual Democracy Fellows conference and other professional events in their technical area of specialization. Similarly to the practice of other fellowship programs at USAID, as part of a fellow's annual budget, the cooperative agreement grantee will offer to each fellow a small annual professional development fund in order to take advantage of a wide range of professional development opportunities, as most applicable to their needs. Historically, fellows have also taken advantage of trainings focused on orientation, management, leadership, personal and team effectiveness offered to them through USAID.

Under DGF, optional short-term (1-3 month) developmental rotations to another USAID bureau, office or mission may be used to provide full-time fellows with a broader perspective of USAID and USG efforts in promoting democracy, human rights and good governance. Prior to any fellow's rotation under this component, the cooperative agreement grantee will develop a memorandum of understanding (MOU) will be required that spells out all expectations, host agency support, clear results, and learning objectives. Concurrence must also be obtained from all parties including the AOTR throughout the various stages of these activities.

Applicants to this RFA are requested to describe how they will meet the professional development needs of fellows. They are requested to describe in detail their professional development strategy for fellows, implementation plan, and how the strategy will be implemented among domestic and overseas fellows.

4. Innovation and Research Grants

The grants component of DGF will support innovation and research projects in all sub-sectors of democracy, human rights and governance managed by non-profit organizations including educational and research institutions. These projects will be substantially different from work performed under grants and contracts to DRG program implementers. Small grants will identify and support ideas that have the potential for high impact in the DRG field and will target individuals and research organizations which normally are not involved in DRG program implementation.

The goals of the Innovation and Research Grants are:

- to catalyze partnerships between academics and the DRG Center that will enable the transformation of knowledge created by universities and research organizations into innovations that can improve the DRG foreign assistance.
- to broaden the participation of all types of academic institutions in DRG activities.

DCHA/DRG will announce priority research areas through annual updates of its Innovations and Research Portfolio. The portfolio will foster and nurture ideas and projects that have the potential to lead to innovative solutions that may bring significant advances in democracy, human rights and governance foreign assistance programs. Academic and research institutions may also submit applications in areas outside the portfolio.

Characteristics of DGF innovation and research grants

- DGF grants may support a project period of up to two years and a budget for direct costs of up to \$100,000 total. Most of the grants are expected to be in the range of \$10,000 to \$35,000.
- Extensions or follow-up grants will not be allowed.
- Small grants cannot be used to conduct a thesis or doctoral dissertation. A DGF grant, however, may be used to assist junior researchers who are pursuing dissertation studies when the work is within the scope of an award.
- While small grants may be used for various research activities, certain activities are specifically excluded from funding such as: travel to professional meetings, secretarial costs, and salary support for the principal investigator. Overhead or indirect costs will be allowable expenses only when the grant proposal envisions new original research.

Scope of DGF innovation and research grants. A common characteristic of the DGF grants is the provision of limited funding for a short period of time. An illustrative list of the types of projects that may be supported include the following:

- Pilot or feasibility studies
- Systematic reviews and handbooks
- Secondary analysis of existing data
- Small, self-contained research projects
- Projects by university faculty, postdoctoral fellows, or advanced doctoral students to develop creative modes of collaborative interaction with USAID through individual or small-group research projects

Principal Investigators of the Innovation and Research Grants will be encouraged to consult with the appropriate DCHA/DRG team or technical experts about their project proposals during the concept development stage of the application. The total value of an individual grant must not exceed \$100,000. USAID will retain the ability to terminate the grant activities unilaterally in extraordinary circumstances. Activities under this component of the DGF program will be subject to the relevant USAID ADS or other relevant federal regulations, and will need to comply with mandatory gender requirements per ADS 201 and 203 and environmental compliance requirements per ADS 204 and 22 CFR 216.

5. GENERAL APPROACHES FOR PROGRAM MANAGEMENT AND SUPPORT

The cooperative agreement grantee will be responsible for all aspects of program management and support, including making all arrangements to prepare for placements, as well as any related support necessary during the duration of placements and separation arrangements. USAID staff may be designated representatives who provide support and guidance often taking on roles as mentor and on-site manager. USAID staffs who will serve as mentors are the point of contact for the grantee throughout the duration of a fellowship. The grantee will also rely on USAID staff regarding performance evaluation of individual fellows. In this capacity, the cooperative agreement grantee and fellows will work closely with USAID staff on career development including annual professional development plans and fellows' work plans, as needed.

Program management and support activities will include but are not limited to the following activities:

- Orientation to the host organization including the USAID "Welcome Book," Agency ADS and other pertinent materials related to USAID DRG programs.
- Orientation to performance management including evaluations, feedback loop, job-aids and other handbooks, materials, and tools should be reviewed.
- Administrative support covering a range of activities such as logistical, administrative and technical support. Assistance with budgets and program description for overseas placements at USAID missions including but not limited to, the following: physical exams, immunizations, visas, language testing, travel and shipping arrangements, housing, personnel, and administrative matters as needed. All equipment, supplies, and relevant support for maintenance including disposal will need to be provided.
- An efficient information and reporting system that will allow for timely decision-making and reporting about fellowships during recruitment and throughout their lifecycles. This system will be particularly important for determining annual budgets, program financial status, program results, and keep Washington and the field up-to-date on their fellows.

Special Conditions and Requirements

- Salary equivalents of GS 12 Step 1 up to GS 14/Step 10 with locality pay will be established as the standard under this program. The GS 14 range will be established for the senior-level fellows. There can, however, be occasional exceptions to this pay structure for a limited number of extremely experienced senior fellows who will exceed the GS 14/Step 10 level and will work at the

GS 15 level. For fellows overseas, the GS pay scale without locality will be used.

- All fellows will need a security clearance unless otherwise indicated. Under certain conditions, an “employment authorization” will be appropriate. An “interim” clearance or “employment authorization” can be obtained between 3-90 days and is adequate to commence work. Start date must take into consideration the security timeline. An “interim” clearance or “employment authorization” must be obtained before a fellow may commence work.
- The cooperative agreement grantee should provide an off-site office space for all full-time as well as part-time and short-term fellows, as needed. The office space for fellows should have a conference room large enough to hold at least 20-25 people and have audio-visual equipment (e.g., video conferencing) available to support virtual meetings. The office should also be within five to ten blocks of the Ronald Reagan Building and International Trade Center. The DGF grantee should also provide an off-site office to accommodate all program management staff.
- Each fellow will have access to the internet or other information technology systems. The applicant will be responsible for providing standard equipment including laptops, desktops, and software. These must be compatible with Agency or host office networks.
- Fellowships are for two-year periods with an option to extend annually for an additional two years. A formal request for extension must be submitted and approved by the DGF Cooperative Agreement AOTR and the head of the sponsoring office. For fellows on two-year appointments, continuation of a fellowship beyond the first year will be subject to an annual satisfactory performance evaluation conducted according to the terms of this agreement.

6. ROLES AND RESPONSIBILITIES

In addition to the cooperative agreement grantee responsibilities outlined above, USAID responsibilities are as follows:

Expected role of DCHA/DRG. The DRG Center provides AOTR management of the DGF program. This will include reviewing all fellow and intern requests and position descriptions from technical teams, working in conjunction with the grantee to determine level of recruited fellows, assisting in the identification of DRG program funds when relevant, providing guidance on the orientation of fellows upon arrival in DCHA/DRG, coordinating the review of grant proposals, approving program descriptions, and fulfilling other AOTR duties as applicable.

Technical teams will be responsible for initiating the request for a fellow or intern, drafting position descriptions to be approved by the DRG Center team leaders, working with the AOTR to identify funds, reviewing and evaluating resumes of applicants recruited and screened by the cooperative agreement grantee, providing input on evaluations of fellows/interns, providing technical evaluation of grant proposals, etc.

Expected role of the program cooperative agreement grantee. The grantee will perform all functions and roles outlined in sections 4 and 5 of this Program Description. The cooperative agreement grantee shall perform its roles in a transparent way and shall not discriminate on the basis of race, color, sex, religion, national or ethnic origin, veteran status, handicap or sexual orientation, and promote diversity, minority participation and gender balance in the DGF program.

7. KEY PERSONNEL

Continuing Fellows. As previously mentioned, DGF represents a continuation of fellowship programs that have been implemented by the DRG Center and its predecessor offices for over 17 years. A number of fellows, at varying levels, will need to transfer to the new program immediately. Compensation and benefits offered to all transferring and new fellows, as previously stated, should be equal if not better than what is currently offered to fellows. It is critical that the winning applicant be fully functional and ready to support fellowships four weeks after the award. To minimize disruption of work and technical assistance provided under this cooperative agreement, the DGF grantee will continue current fellowships through the end of their four-year term. All bidding organizations must describe steps which will be taken to ensure a smooth transition. They must provide an illustrative transition plan that describes a timeline and outlines key activities that need to take place to facilitate the transition from the previous program.

Core Project Staff (CPS). The applicant shall provide a management team/core staff based in Washington, DC to oversee and support program activities identified as key elements. The applicant will recruit staff with relevant qualifications and skills necessary to carry out the functions and activities identified under the program.

The applicant will provide key personnel, including the Program Director and Program Coordinator. In addition, the applicant will propose other positions considered as key personnel that provide management oversight and support to ensure a smooth transition. All key personnel must be Washington, DC based, full-time employees, with no outside obligations or commitments. With respect to substantial involvement, the AOTR will provide approval of the designation of key positions, key personnel, and concurrence on any changes in key personnel.

8. PERFORMANCE EVALUATION AND REPORTING REQUIREMENT

8.1. Reporting requirements

Financial reporting-requirements will be in accordance with the standard provision of this cooperative agreement.

Program performance reporting requirements include:

- Five copies of annual reports submitted to the USAID project officer by October 31 for each fiscal year.
- The reports should be concise and contain information on progress and problems for the reporting period and plans for the upcoming period.

- Annual reports should contain a separate section of achievement of diversity recruitment goals.
- Annual reports should contain a separate section of achievements of the innovation and research grants.
- A review of the reporting period finances and a forecast of expected expenditures.

Ten copies of a final report are due to the USAID AOTR within 90 days of the completion date of the agreement. It should include an executive summary, a description of accomplishments and lessons learned, and recommendations.

8.2. Performance Evaluations

Annual reviews should be conducted by the cooperative agreement grantee for the entire program with USAID's involvement as required. The program will be subject to independent mid-term and final evaluations to be organized by USAID DRG Center according to the terms of the USAID Evaluation Policy. The results of the evaluation could be used to decide the Democracy Grant and Fellowships program continuation.

SECTION II. AWARD INFORMATION

A. ESTIMATED FUNDING AVAILABLE

USAID expects to award one contract (1) based on this RFA. The anticipated total federal funding amount is \$33,146,000, subject to availability of funds.

The U.S. Government may make an award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. The U.S. Government reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Cooperative Agreement unless explicitly stated otherwise in the agreement.

B. ANTICIPATED START DATE AND PERIOD OF PERFORMANCE

Activities pursuant to this RFA will be for a five (5) years period, beginning on the effective date of the cover page of the Cooperative Agreement.

C. AWARD TYPE AND SUBSTANTIAL INVOLVEMENT

Award Type: The Government intends to award one Cooperative Agreement resulting from this RFA to the responsible applicant whose application conforms to this RFA offering the greatest value to the U.S. Government (see also Section V for evaluation criteria). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

Substantial Involvement: USAID shall be substantially involved during the implementation of this Cooperative Agreement in the following ways:

1. Approval of the Recipient's annual work/implementation plans, including: planned activities for the following year, international travel, planned expenditures, knowledge management plans, event planning/management, research studies/protocols, and changes to any Cooperative Agreement activity to be carried out under the DGF;
2. Approval of appointment and changes of key personnel;
3. DCHA/DRG's AOR and Recipient joint participation, including: selection of any technical oversight board members, grantees, and concurrence on the substantive provisions of the grants; and coordination with other cooperating agencies; technical monitoring of program performance including grantees; and
4. Approval of Performance Monitoring & Evaluation Plan

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

SECTION III. ELIGIBILITY INFORMATION

A. ELIGIBILITY REQUIREMENTS

To be eligible to receive this Cooperative Agreement, applicants must:

- Be a U.S. based-non-profit, private voluntary organizations, universities or Institutions of Higher Education;
- Have managerial, technical, and institutional capacities to achieve the results outlined in this program description.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subawards issued under this Cooperative Agreement.

B. NEW PARTNERS

New partners are defined as organizations that have never received funding from the Center of Excellence on Democracy, Human Rights and Governance as either a direct or sub-recipient. Under this definition, organizations that have been directly funded by a USAID Mission bilateral program or have received USAID Regional Bureau funding will be considered a new partner. Partnerships should be of manageable size with relationships and responsibilities clearly defined. Proposing at least one new university partner in response to this RFA is highly desirable but not required.

USAID encourages applications from organizations that have never received a direct

award from USAID. However, resultant awards to these organizations may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their “responsibility” (see below). These organizations should take these into account and plan their implementation dates and activities accordingly.

C. “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 by USAID.

In the absence of affirmative “responsibility” determination, an award can be ordinarily not be made. However, in rare cases, an award can be made with “special award conditions” (i.e. additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative determination of “responsibility” cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

D. COST SHARING

There is no cost sharing requirement for this Cooperative Agreement.

SECTION IV. APPLICATION AND SUBMISSION INFORMATION

A. POINTS OF CONTACT

All questions must be submitted to the following email address:

Isidore W. Emmanuel
USAID Office of Acquisition & Assistance
M/OAA/DCHA/OFDA, Rm. 524-C, SA-44
1300 Pennsylvania Ave., NW
Washington, DC 20523
Phone: 202-567-5286
Email: iemmanuel@usaid.gov

Ousmane Faye
USAID Office of Acquisition & Assistance
M/OAA/DCHA/OFDA, Rm. 518 D, SA-44
1300 Pennsylvania Ave., NW
Washington, DC 20523
Phone: 202-567-4184
Email: ofaye@usaid.gov

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing **by close of business on May 4, 2012** in order to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

B. APPLICATION FORMS

As prescribed by the Office of Management and Budget (OMB) Circular A-102, the application must be submitted using the standard form (SF) 424 series, which includes (hyperlinked below):

- [SF-424, Application for Federal Assistance](#)
- [SF-424a, Budget Information – Non-construction Programs](#)
- [SF-424b, Standard Assurances \(Non-Construction\)](#)

Copies of these forms may also be found at the following website:

<https://apply07.grants.gov/apply/FormsMenu?source=agency>

C. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

The Cost/Business Application must include the following signed Certifications, Assurances, and Other Statements of the Recipient, attached as Attachment I:

- a. Certification Regarding Lobbying;
- b. Prohibition on Assistance to Drug Traffickers for covered assistance in covered countries;
- c. Certification Regarding Terrorist Financing Implementing Executive Order 13224;
- d. Key Individual Certification Narcotics Offenses and Drug Trafficking;
- e. Survey on Ensuring Equal Opportunity for Applicants; and
- f. All applicants must provide a Data Universal Numbering System (DUNS) Number.

Additionally, the Certifications, Assurances, and Other Statements of the Recipient may be found at the following website: <http://www.usaid.gov/policy/ads/300/303sad.pdf>

D. APPLICATION PREPARATION GUIDELINES

General Instructions: Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk. The penalty for making false statements in applications to the U.S. Government is prescribed in 18 U.S.C. 1001.

Each applicant shall furnish the information required by this RFA. The applicant must sign the application form (SF-424) and print or type its name on the Cover Page of the technical and cost/business applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Any application with data not to be disclosed should be marked with the following legend:

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

Mark each sheet of data you wish to restrict with the following legend:

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

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

The applicant shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgment by the time specified for receipt of applications.

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

To facilitate the competitive review of applications, USAID will consider only applications conforming to the format prescribed below.

E. TECHNICAL APPLICATION GUIDELINES

Technical application shall be written in English and shall not **exceed 24 single-spaced typed pages**, exclusive of resumes, past performance references, and the illustrative Performance Monitoring and Evaluation Plan (PMEP). Page limitations include the following requirements: single-spaced text printed on one side of the page only, one-inch (1") margins, **12-point (minimum) Arial font** with each page numbered consecutively.

In addition, the application shall include an executive summary, not to exceed two (2) pages. The executive summary shall provide a clear overview of the results to be achieved, milestone or benchmark measures of progress and a brief summary of applicant's experience implementing similar activities.

As part of the technical application, the applicant shall include three Annexes:

1. Performance Monitoring and Evaluation Plan (PMEP);
2. Resumes for Key Personnel and Letters of Commitment; and
3. Relevant Past Performance Information (recipient and Key Partner Organizations).

The technical application will become the program description incorporated into the final Cooperative Agreement, if selected.

Applicants should prepare their applications using the following general format:

Cover Page (1 page maximum, does not count against the 24 page limit): A single page with the names of the organization/institutions involved and the lead or primary applicant clearly identified. Any proposed sub-grantees (hereafter referred to as the "subs") should be listed separately. In addition, the Cover Page should provide a contact person for the prime applicant, including the individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers. State whether the contact person is the person with authority to contract for the applicant and, if not, that person should also be listed.

Executive Summary (2 pages maximum, does not count against the 24 page limit): This should provide a clear summary of the key elements of the applicant's strategy and approach as well as resources, methodologies and roles of contributing organizations, as appropriate.

Technical Approach: The technical approach must set forth the strategy, concept, tactics, methodology, techniques, and activities for accomplishing anticipated results set forth in the Program Description (Section I) of the RFA. The technical approach must include:

- outline of all program elements, with a clear vision of concrete proposed results;
- understanding of the issues to be addressed, including recommendations for prioritization;
- plan for effective rapid launch of activities;
- timeline for implementation;
- creative use of new technology, innovative tools and lessons learned;
- a clear approach for recruiting qualified candidates for fellowships;
- a detailed description of the offeror's professional development strategy for fellows; and
- responsiveness to special considerations.

As part of the technical approach, the applicant must include an illustrative Performance Monitoring and Evaluation Plan (PMEP) as an annex to the application. The PMEP must explain how the applicant proposes to monitor the program and assess program impact. The PMEP must include indicators, targets, data sources and collection methods, baseline

information, and benchmarks. The applicant must discuss the ways in which the collection, analysis and reporting of performance data will be managed under the project. All data collected must be disaggregated by sex, if applicable. It is the applicant's responsibility to ensure that all costs related to the implementation of the PMEP are included in the cost proposal.

Organizational Capacity and Management Plan: The applicant must demonstrate organizational capacity and reflect comparative advantages in implementing the proposed activities to successfully carry out programs of comparable resource level and complexity to directly benefit Democracy Grant and Fellowships Program implementation. Information in this section should include (but is not limited to) the following:

- provide a brief description of the applicant's areas of expertise and particular capacities in being able to implement the program, including how the applicant will engage its own internal components to take a multidisciplinary approach;
- composition and organizational structure of the proposed project team and a description of each team member's role and technical expertise;
- describe the organizational capabilities and expertise of any proposed sub-recipients, if applicable; and
- explain the core technical capacities/resources and institutional support that the applicant offers and address the applicant's financial control system.

The applicant should propose a management plan and describe how the proposed plan will contribute towards achieving the objectives and results described in the program description. The proposed plan should specifically state and justify the composition and organizational structure of the entire project team. It should also describe how the technical expertise and experience of all staff members is most conducive to achieving expected results of the program. The plan should specify the role and estimated amount of time each staff member will devote to the project and/or specific components within the project. Delineation of roles, responsibilities, authority, and processes for decision making within applicant's in-country team and between the home office and the field must be spelled out clearly.

The applicant should clearly identify all proposed partners, explaining the roles and responsibilities of each and the proposed management operating structure. Proposed signed Memorandums of Understanding should be presented in an annex for all identified partners. Should the applicant decide to utilize sub-agreements, detailed information on its experience in overseeing and implementing sub-agreements should be provided.

Staffing, including Key Personnel: The applicant will provide a complete staffing plan including key personnel and core technical staff, with underlying rationale, including an organizational chart demonstrating lines of authority and staff responsibility accompanied by position descriptions. Staffing plans are expected to include non-program staff, core technical staff and an explanation of how additional technical expertise will be obtained with attention to cost-containment and unnecessary staffing. Staffing charts are also to include the percentage of time on project per staff.

The applicant must propose which positions should be designated as Key Personnel and specify the qualifications and abilities of proposed key personnel that are suited to successfully implement the proposed technical approach. The applicant must include in

the proposal an organizational chart that delineates the key positions together with a summary position description for each. Position description will include, at a minimum, the proposed position title, relationship to other key personnel and with the applicant's headquarters. The applicant's proposed position descriptions shall reflect a clear understanding of the technical and management skills necessary to achieve the results specified in Section I.

In the annex of the technical application, the applicant shall submit resumes for all key personnel candidates and any other personnel proposed for significant positions. Resumes shall be in chronological order starting with most recent experience. Resumes may not exceed two (2) pages in length and should include at least three (3) references with telephone numbers or email addresses for each reference. Each resume shall be accompanied by a signed Letter of Commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application.

Past Performance (does not count against 24 page limit): As part of the Annex, the applicant is required to submit information on recent (3-years) previously performed or on-going contracts, grants or Cooperative Agreements that are the same or similar in complexity to this RFA. The same information is required for all identified sub-recipients as it relates to their proposed role. Include the following for each award:

- name of awarding organization or agency;
- address of awarding organization or agency;
- place of performance of services or program;
- award number;
- amount of award;
- period of performance (begin and end dates of services/program); and
- name, current telephone number, current fax number, and email address (if one is available) of a responsible technical representative (project officer, activity manager or other contact person) of that organization or agency.

Branding Strategy and Marking Plan (does not count against 24 page limit): It is a Federal statutory and regulatory requirement (see [Section 641, Foreign Assistance Act of 1961](#), as amended and [22 CFR 226.91](#)) that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity. Applicants may download the regulations, guidance, and graphics at www.usaid.gov/branding. Pursuant to ADS 303.3.6.3.f. and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a Cooperative Agreement will be awarded. Budget for all communications and marking efforts will be included in the overall budget of the project and will be sufficient for the achievement of the communications goals set in the branding strategy.

F. COST APPLICATION GUIDELINES

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

An electronic version of the budget must be provided in an unprotected Microsoft Excel format with full access to all cells, formulas, spreadsheets, and workbooks. No hidden information, cells, formulas, spreadsheets will be permitted. Information referring to cells that are not accessible will not be evaluated. Budget narratives shall be provided in Microsoft Word or PDF format.

The following describes the documentation that the applicant for the Cooperative Agreement must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

1. If the applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the document establishing the parameters of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the applicants including identification of the applicant with which USAID will treat for purposes of Agreement administration, identity of the applicant which will have accounting responsibility, how agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
2. To support the proposed costs, please provide detailed five-year budget with accompanying notes/narrative for all costs, explaining how the costs were derived. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, vendor quotes, etc.). The following provides guidance on what is needed:
 - a. The breakdown of all costs associated with the program.
 - b. The breakdown of all costs according to each partner organization involved in the Program.
 - c. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
 - d. Procurement plan for commodities (if applicable).
3. The cost/business application should contain the following budget categories:
 - a. Salary and Wages – Direct salaries, wages and annual increases for all personnel proposed under the application shall be in accordance with the applicant's established personnel policies. To be considered adequate, the policies must be in writing, applicable to all employees of the organization, is subject to review and approval at a high enough organizational level to assure

its uniform enforcement, and result in costs which are reasonable and allowable in accordance with applicable cost principles. The narrative should include a level of effort analysis specifying personnel, rate of compensation, and amount of time proposed. Anticipated salary increases during the period of the agreement should be included.

- b. Fringe Benefits – If accounted for as a separate item of cost, fringe benefits should be based on the applicant's audited fringe benefit rate, supported by a Negotiated Indirect Cost Rate Agreement (NICRA) or historical cost data. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the budget narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g. unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.
- c. Travel, Transportation and Per Diem – The narrative should indicate number of trips, domestic and international, and the estimated unit cost of each travel in accordance with the technical application. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Proposed per diem rates must be in accordance with the applicant's established policies and practices.
- d. Supplies and Equipment – Differentiate between expendable supplies and nonexpendable equipment (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit, unless the applicant's established policy establishes nonexpendable equipment anticipated to be required to implement the program, specifying quantities and unit cost.)
- e. Allowances – Allowances must be broken down by specific type and by person and must be in accordance with the applicant's established policies.
- f. Contractual – Any goods and services being procured through a contract mechanism. **Subrecipient cost applications should follow the same cost format as submitted by the applicant.**
- g. Other Direct Costs – This could include any miscellaneous costs such as office rents, communications, transportations, supplies and utilities, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than the applicant's normal coverage), etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item of other direct costs.
- h. Indirect Costs – The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a NICRA, or with sufficient information for USAID to determine the reasonableness of the rates. (e.g., a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

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

- Copies of audited financial statements for the last three (3) years, which a Certified Public Accountant or other auditor satisfactory to USAID has performed;
 - Projected budget, cash flow, and organization charts; and
 - Copies of applicable policies and procedures (e.g. accounting, purchasing, property management, personnel).
4. Additionally, applicants must provide the following information on their financial status and management, as appropriate:
- a. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a reputable certified public accounting firm;
 - b. Current NICRA, if applicable;
 - c. Organizational chart;
 - d. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the Cognizant reviewing official; and
 - e. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.
5. Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the applicant:
- a. has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
 - b. has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
 - c. has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 - d. has a satisfactory record of integrity and business ethics; and
 - e. is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

G. SUBMISSION DEADLINE

Applications must be submitted to the location indicated below in Section IV. J, Application Submission Procedures, by the date and time specified on the cover page of this RFA. Applications received by the closing date and time specified will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications that are submitted late or are incomplete will not be considered for award.

H. FUNDING RESTRICTIONS

There are no funding restrictions applicable to this RFA at this time.

I. PRE-AWARD COSTS

No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

J. APPLICATION SUBMISSION PROCEDURES

Applicants may upload applications to www.grants.gov. Additionally, hard copy submissions are still required by USAID. All applications received by the submission deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. No addition or modifications will be accepted after the submission date.

Hard Copy Application Submission: Hard copies of applications submitted via courier service or mail shall be in **sealed envelopes or packages** (1) addressed to the office specified below, and (2) showing the date and time specified for receipt (i.e., the due date and time), the RFA number, and the name and address of the applicant.

Applications shall be submitted in two separate parts and delivered in two separate envelopes: (a) technical and (b) cost or business application. The hard copy technical application shall consist of one original and four (4) copies. The cost or business application shall consist of one original and two (2) copies. Applications shall be submitted with the name and address of the applicant and RFA number (referenced above) inscribed thereon, to:

By Courier Service/Mail:

Isidore Emmanuel
USAID Office of Acquisition & Assistance
M/OAA/DCHA, SA-44, Rm. 524 C,
1300 Pennsylvania Ave., NW
Washington, D.C. 20523

Hand Delivery:

Isidore Emmanuel
USAID Office of Acquisition & Assistance
SA-44 Room Number 524 C
Federal Center Plaza
301 C Street, SW
Washington, D.C. 20024
Isidore Emmanuel @ 202-567-5286 or
Ousmane Faye @ 202-567-4184

Hard copies of submissions must arrive by the closing date and time. It is recommended that applicants use courier service instead of mail for the hard copy submission.

Faxed applications are not acceptable.

Note: Delivery to the courier representative does not constitute meeting the statutory requirement that applications are received on time at the designated office. For purposes of recording the official receipt of applications, the date/time stamp of the Office of the Acquisition and Assistance at USAID will govern.

Electronic Application Submission: Applications may be uploaded to www.grants.gov; however, separately submitted applications in hard copy, are still required by USAID. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

For electronic submissions, your organization must ensure that the applications are received at USAID in its entirety. No addition or modifications will be accepted after the submission date. E-mail attachments should be formatted in Microsoft Word and/or Microsoft Excel format with **2 MB limit per e-mail**. Please convert your documents to one of these formats before sending them to USAID, or provide scanned copies of pages if they include signatures or forms. **USAID cannot accept .zip files, as they will be blocked by USAID's firewall.**

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

- i. Technical and cost proposal applications must be submitted in separate parts. Budgets must be submitted in unlocked Excel format with all formulas to demonstrate calculations.
- ii. After you have sent your applications electronically, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via www.grants.gov that it is a "corrected" submission.
- iii. Please do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.
- iv. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost application is

being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2".

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

The applicants must:

- i. Provide a Data Universal Numbering System (DUNS) Number. DUNS number is a nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B at www.dnb.com.
 1. Click on D&B D-U-N-S Number;
 2. Click on "Are you a government contractor, vendor, or grant recipient?";
 3. Click on "Click here to request your D-U-N-S Number via the web";
 4. Follow the instructions.

Questions should be directed to Dun and Bradstreet.

- ii. Register in Central Contractor Registration (CCR) unless exempt under 2 CFR 25.110. CCR is the U.S. Government Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at www.ccr.gov. Organizations that apply and do not have an exception must ensure they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170 should they receive funding. See "Reporting Subawards and Executive Compensation" at <http://www.usaid.gov/policy/ads/300/303mab.pdf> (for Non-U.S. organizations).

SECTION V – APPLICATION REVIEW INFORMATION (EVALUATION CRITERIA)

A. OVERVIEW

Each technical application submitted in response to this RFA will be evaluated in relation to evaluation factors set forth in Section C, below.

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

B. ACCEPTABILITY OF PROPOSED NON-PRICE TERMS AND CONDITIONS

An application is acceptable when it manifests the Applicant's assent, without exception, to the terms and conditions of the RFA, including attachments and provides a complete and responsive proposal without taking exception of the terms and conditions of the RFA. If an Applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its offer to be unacceptable. Applicants who wish to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so. USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the Applicant selection decision.

The criteria presented below have been tailored to the requirements of this RFA. Applicants should note that these criteria serve: (a) to identify the significant areas that Applicants should address in their applications and (b) as the standard against which all applications will be evaluated. To facilitate the review of applications, Applicants should organize the narrative sections of their applications in the same order as the selection criteria.

Technical applications will be evaluated in accordance with the evaluation criteria set forth below. Thereafter, cost application of all Applicants submitting a technically acceptable application will be evaluated for general reasonableness, allowability, and allocability. If necessary, USAID will conduct negotiations with all Applicants, whose applications after discussion and negotiation have a reasonable chance of being selected for award. An award will be made to the Applicant whose application offers the best combination of technical merit, value, cost reasonableness, and other factors considered.

C. TECHNICAL EVALUATION CRITERIA

The technical evaluation criteria presented below identify the relative importance of each criterion. The sub-criteria identified under each criterion are not in descending order of importance, but rather considered as one criterion separated for clarity. The criteria signify the most important factors that applicants should address in their application, as well as set standards against which USAID will evaluate all applications. To facilitate the review of applications, applicants should organize the narrative portions of their application with reference to the format guidelines found in Section IV, Application and Submission Information. Each category is weighted out of a total of 100 points).

Criterion

Weight

C1. Management and Institutional Capability

(30/100)

- a. Application demonstrates management and administrative structure, policies and practices for overall implementation of the program including personnel, financial, and logistical support; the role and level of effort for staff supporting these functions; and a realistic plan for monitoring the technical and financial activities and reporting on results;

- b. Application includes plans for rapid start-up of the program, including transfer of the existing Democracy Fellows onto the new Democracy Grants and Fellowship program; and plans for rapid response to requests from USAID/Washington and/or USAID Missions, including how the program will manage requests in multiple countries and regions of the world, and balance the competing demands from USAID/Washington and USAID missions, including the reporting requirements;
- c. Application shows how responsibilities and funding are divided among sub-partners, if any, to manage and implement activities; how the applicant will work with other USAID programs, and other implementing organizations to achieve results; and how management is structured in a way that is mutually reinforcing, optimally efficient and effective in its use of technical and financial resources, and not duplicative; and
- d. Application demonstrates institutional capacity, organizational systems, and competence to plan creatively, implement, monitor, and report on the range of activities outlined in this RFA in both the United States and developing country contexts.
- e. Application demonstrates institutional capacity and organizational systems to successfully implement, monitor and report on the Democracy Grants component of the program.

C2. Technical Understanding

(25/100)

Technical Plan: USAID will evaluate the overall soundness of the application’s proposed approach to program implementation and achievement of program objectives and results. USAID will look for evidence of the application of best practices and creative approaches to accomplishing key tasks and objectives. USAID will assess the merits of the technical plan on whether it ensures cost-effectiveness and timely completion of planned activities.

The application must demonstrate innovation, creativity, and cost effectiveness in proposing strategies to accomplish all four deliverables, and to build on successful approaches taken by previous Democracy Fellowship programs as well as other USAID fellowship programs, such as the Global Health Fellows Program, in proposing strategies to accomplish program results. The applicant should show flexibility to respond to changing needs for types and numbers of fellows and propose innovative approaches to increase the diversity of new international democracy, human rights and governance professionals.

C3. Key Personnel, Other Staff, and Partners

(20/100)

- a. **Key Personnel/Other Staff-**Application must provide letters of commitment for all proposed key personnel listed in the application. All key personnel must be available full-time immediately upon award and meet the requirements set forth under key personnel in this RFA. Together, proposed key personnel must provide

the breadth and depth of technical expertise and management experience needed in this program. **Other Staff**-The staff and staffing pattern proposed for non-key positions must demonstrate excellence in terms of meeting the technical and organizational requirements of this RFA and must provide an appropriate mix of skills while avoiding excessive staff.

- b. **Partners**-Extent to which new partners are engaged in project implementation.

C4. Past Performance

(15/100)

Past Performance will be judged by how well an applicant performed similar tasks and/or achieved similar objectives in previous work, including instances of good performance, instances of poor performance, significant achievements, significant problems, and any indications of excellent or exceptional performance in the following critical areas.

- a. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the implementing partner and sub-partners in resolving clients' problems.
- b. Cost control, including forecasting costs as well as accuracy in financial reporting.
- c. Timeliness of performance, including adherence to agreement schedules and other time-sensitive program conditions, and effectiveness of management staff to make prompt decisions and ensure efficient operation of tasks.
- d. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordinating among sub-partners and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in solving clients' problems.
- e. Track record of key personnel including effectiveness and appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients were identified.

The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current.

C5. Monitoring and Evaluation

(10/100)

The Monitoring and Evaluation plan will be reviewed to determine its appropriateness and evaluate the application's plan for managing for results that clearly describe how performance will be measured, in terms of results and benchmarks in a cost-effective and timely fashion.

Summary:

Evaluation Criteria	Weight
Management and Institutional Capability	30 points
Technical Understanding	25 points
Staffing/Key Personnel	20 points
Past Performance	15 points
Monitoring and Evaluation	10 points
TOTAL	100 points

D. BRANDING STRATEGY AND MARKETING PLAN

In accordance with ADS 303.3.6.3.f and [22 CFR 226.91](#), the apparently successful applicant must submit a Branding Strategy and a Marking Plan for evaluation and approval by the Agreement Officer before an award under this solicitation will be made.

“Marking Plan” and “Marking of USAID-funded Assistance Awards” are contained in [AAPD 05-11](#) and in [22 CFR 226.91](#). Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see 22 CFR 226.91(j). See Section VIII.

No award will be made without USAID approved Branding Strategy and Marking Plan.

E. REVIEW AND SELECTION PROCESS

Technical applications will be evaluated in accordance with the evaluation criteria set forth above by a Technical Evaluation Committee (TEC) comprised of USAID employees and/or external technical experts.

The Cost/Business applications will be evaluated by the Agreement Officer on cost effectiveness and cost realism analysis. An award will be made to the responsible applicant whose application are most responsive based on the evaluation factors and all other terms and conditions in this RFA offer to the U.S. Government. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

SECTION VI. AWARD ADMINISTRATION INFORMATION

A. NOTIFICATION TO APPLICANTS

In accordance to ADS 303.3.7.1a, only the Agreement Officer may notify the apparently successful applicant that they are being further considered. A notice of award signed by the Agreement Officer is the authorizing document for this RFA. The notice of award will be provided electronically to the applicant’s point of contact listed in the application.

Pursuant to ADS 303.7.1.b, the Agreement Officer will electronically notify unsuccessful applicants that they will not be considered further for an award. A debriefing may be provided if requested in accordance with ADS 303.3.7.2.

B. AWARD NOTIFICATION

An award signed by the Agreement Officer is the authorizing document. 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.

Prior to issuance of award, some applicants may be required to submit additional information on the organization and key individuals for vetting. For example, for those organizations that has not had previous grants or cooperative agreements with the U.S. Government, Articles of Incorporation or other documentation which substantiates the legal character of the entity will be requested. In such cases, issuance of an award is contingent on the timely receipt of the information requested and the successful completion of the vetting process.

The vetting process may include pre-award responsibility determination which will be conducted and will include an examination of the application's budget details to ensure it is a realistic financial expression of the proposed program and does not contain estimated costs which may be unreasonable or unable to be charged under the program. Staff salaries will be considered reasonable to the extent that they are comparable to that paid for similar work in the relevant labor market; salary history will not be used to determine the salary range for a particular job category. Note that a pre-award survey does not commit USAID to make an award to an organization.

No costs charged to the proposed award may be incurred before receipt of either a fully executed award or a specific, written pre-award authorization from the Agreement Officer.

C. STANDARD PROVISIONS AND DEVIATIONS

No deviations are anticipated to the standard provisions for the Cooperative Agreement under this RFA. The standard provisions to be used will be Standard Provisions for U.S. Non-governmental Organizations at <http://www.usaid.gov/policy/ads/300/303mab.pdf>.

D. GENERAL INFORMATION ON REPORTING REQUIREMENTS

Reports and related requirements will be included in the Cooperative Agreement issued as a result of this RFA. The recipient shall be responsible to USAID for all matters related to the execution of the Agreement. Specifically, the recipient will report to the AOR, who will be designated by the AO prior to award. The recipient will be required to report on indicators related to key objectives as specified in the Program Description.

Requirements for periodic performance reports are contained below and supplement the

requirements of [22 CFR 226.51](#). The recipient must submit copies of all required reports as follows: an original to USAID AOR and one copy to the Agreement Officer. Applicants are reminded to budget prudent and adequate resources for completing the required reporting.

D.1 Financial Reporting

Financial reporting requirements will be in accordance with [22 CFR 226.52](#), using Standard Form 425 or 425(a), found at the following link:

http://www.whitehouse.gov/omb/grants_forms

D.2 Performance Monitoring and Reporting

Annual Implementation Plans: The recipient will submit a draft annual implementation plan within 30 calendar days of the effective date of the award to the AOR. The AOR will review the implementation plan and provide comments within 15 calendar days of receipt; the recipient will incorporate these comments and provide a final annual implementation plan within 15 calendar days of receiving the AOR's comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOR. Thus, a final annual implementation plan will be in place within 60 calendar days after the effective date of the award. Subsequent annual implementation plans will be submitted in a similar fashion, and the recipient should submit the annual implementation plans for successive years within 30 days after the end of the fiscal year.

The annual implementation plan will describe activities to be conducted at a greater level of detail than the agreement Program Description, but will be cross-referenced with the applicable sections in the agreement Program Description.

All annual implementation plan activities must be within the scope of the Agreement. Annual implementation plan activities will not alter the agreement Program Description or terms and conditions in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the annual implementation plan and the agreement Program Description or other terms and conditions of this Agreement, the latter will take precedent over the annual implementation plan.

The annual implementation plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the recipient should 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps (such as relevant partners); 4) provide any quantitative or qualitative targets; 5) include a timeline for the implementation of the task; and 6) estimate the cost necessary for its implementation.

Should revisions to the annual implementation plans be necessary, the recipient shall submit a revised annual implementation plan or a modification to the annual implementation plan in writing. The modification or revision will not be effective until it has been approved by the AOR in writing.

Quarterly Progress Reports: The recipient will submit a quarterly progress reports to the AOR within 30 days after the end of each USG fiscal quarter, i.e. fiscal second (2nd) quarter (March 31) is due no later than April 30. This report will collectively discuss the work of the program, highlighting: (1) major activities undertaken in the reporting period and those planned for the subsequent quarter; (2) timeline of events; (3) significant results to date; (4) problems with implementation; (5) adjustments to plan; and (6) analysis and explanation of cost overruns or growing pipelines (recipients must immediately notify the AOR of delays or adverse conditions which can significantly impact its ability to meet the objectives of the project). Notifications must include a statement of actions taken and / or any assistance needed to resolve the situation. The fourth quarter report must contain consolidated information for the entire year so that it can serve as a basis for project evaluation, audit and management decision-making for budgetary considerations of the project.

D.3 Final Reports

The recipient will submit a final report of the activity within 90 calendar days after the expiration or termination of the award. The final report will cover the entire five-year period of the award and will include, but is not limited to: (1) executive summary; (2) brief description of the cumulative results of the program; (3) an assessment of impact of the program in assisting USAID in meeting Democracy Grant and Fellowships Program targets; (4) success stories; (5) problems and how they were overcome; (6) cost-effectiveness; (7) lessons learned; and (8) recommendations for USAID's future interventions. A copy of the final results must be filed with the Development Experience Clearinghouse at: <http://dec.usaid.gov/default.htm> or <http://www.DocSubmit@usaid.gov> .

SECTION VII. AGENCY CONTACTS

Refer to Section IV, Application and Submission Information, for USAID points of contact (POCs) for this RFA. All questions and comments regarding this RFA must be submitted in writing to jemmanuel@usaid.gov and Ofaye@usaid.gov .

SECTION VIII. OTHER INFORMATION

A. AUTHORITY TO OBLIGATE THE GOVERNMENT

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

B. PROGRAM INCOME

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 used for program purposes as described in [22 CFR 226.24\(b\)\(1\)](#). 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.

C. EXTERNAL EVALUATIONS

USAID may conduct mid-term and final external evaluations to assess and substantiate performance and overall achievements of the project. The external evaluations may be funded directly by USAID and will not be included in the funding of this Agreement.

D. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this award is 000. The applicant is encouraged to specify any plans for the procurement of non-U.S. goods and/or services as part of its application.

SECTION IX – ANNEXES

A. Mandatory Standard Provisions for U.S. Nongovernmental Recipients

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

B. ADS 320: Branding and Marking

<http://www.usaid.gov/policy/ads/300/320.pdf>

Additional guidance can be found at the following hyperlinks:

[USAID Branding Website](#)

[Marking: 22 CFR 226.91](#)

[Marking Under Assistance Instruments: AAPD 05-11](#)

C. Standard Form 424

- [SF-424, Application for Federal Assistance](#)
- [SF-424a, Budget Information – Non-construction Programs](#)
- [SF-424b, Standard Assurances \(Non-Construction\)](#)

D. Certifications, Assurances, and Other Statements of the Recipient

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

ATTACHMENT I – CERTIFICATIONS & ASSURANCES

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all 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 E.O. 13224

Certification

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, Osama 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, safe houses, 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://treaties.un.org/Pages/DB.aspx?path=DB/studies/page2_en.xml&menu=MTDSG); or

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

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

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

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc.,

unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

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

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV-

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 Exp. 02/28/09

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

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

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

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Federal Program: _____ **CFDA Number:** _____

1. Has the applicant ever received a grant or contract from the Federal government?

- Yes No

2. Is the applicant a faith-based organization?

- Yes No

3. Is the applicant a secular organization?

- Yes No

4. Does the applicant have 501(c)(3) status?

- Yes No

5. Is the applicant a local affiliate of a national organization?

- Yes No

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

- 3 or Fewer 15-50
 4-5 51-100
 6-14 over 100

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

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

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement

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

OMB No. 1890-0014 Exp. 02/28/09

The form for the survey on ensuring equal opportunity for applicants can be found at: <http://www2.ed.gov/fund/grant/apply/appforms/surveyeo.pdf>

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

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

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

(c) Recipients located outside the United States may e-mail Dun and

Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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 and major assembling of components, commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please

indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

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

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

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

6. PAST PERFORMANCE REFERENCES

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

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.