



# USAID | NICARAGUA

FROM THE AMERICAN PEOPLE

Issuance Date: November 24, 2009  
Closing Date: January 8, 2010  
Closing Time: 4:30 P.M. Nicaragua time

**Subject:** Request for Application (RFA) USAID Nicaragua No. 524-10-002 for the implementation of the Democratic Leadership Development Program (DLDP)

The United States Government, as represented by the United States Agency for International Development (USAID) Mission in Nicaragua, is seeking applications (proposals for assistance funding) from U.S. non-governmental or non-U.S. non-governmental organizations to implement its Democratic Leadership Development Program (DLDP) in Nicaragua subject to the availability of funds as described in the following Request for Applications. This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objectives. Please refer to the Section I, Funding Opportunity Description for a complete statement of goals and expected results.

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

Subject to the availability of funds, USAID intends to provide approximately \$10.2 million in total USAID funding to be allocated over a five-year activity. USAID reserves the right to fund any or none of the application to be submitted.

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.

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter VIA email attachment at [oaanicaragua@usaid.gov](mailto:oaanicaragua@usaid.gov)

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REQUEST FOR APPLICATION (RFA) No 524-10-002

to the attention of Ms. Maria Lourdes Baltodano. Electronic technical and cost proposals must be submitted on separate e-mails by the established date and time. Identify the application with the RFA number (524-10-002) and the name of your organization.

Any questions concerning this RFA must be submitted in writing to [oaanicaragua@usaid.gov](mailto:oaanicaragua@usaid.gov) attention: Ms. Maria Lourdes Baltodano.

If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answer document, and/or if needed, an amendment to the RFA, will be issued. Therefore, questions should be submitted no later than December 7, 2009 at 4:30 P.M. Nicaragua time.

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

Sincerely,

A handwritten signature in black ink, appearing to read 'David Brown', with a long horizontal line extending to the right.

David Brown  
Director  
Regional Office of Acquisition and Assistance  
for Central America and Mexico

## **SECTION I- Funding Opportunity Description**

### **A. Title**

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement to implement a program entitled “Democratic Leadership Development Program (DLDP).”

### **B. Authorizing Legislation**

The authority for the Request for Applications (RFA) is found in the Foreign Assistance Act of 1961, as amended.

### **C. Award Administration**

22 CFR 226, OMB Circulars, and the Standard Provisions for U.S. Nongovernmental Recipients will be applicable to the resulting Cooperative Agreement if it is awarded to a U.S. organization. OMB Circulars and the Standard Provisions for Non-U.S. Nongovernmental Recipients will be applicable to the resulting Cooperative Agreement if it is awarded to a non-U.S. organization. These documents may be accessed through the world-wide website at: <http://www.usaid.gov/business/regulations/>

### **D. Applicability of 22 CFR 226**

The following provision will be included in any award to a U.S. entity resulting from this RFA:

#### **APPLICABILITY OF 22 CFR PART 226 (May 2005)**

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

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

### **E. Program Description**

#### **1) INTRODUCTION**

The United States Agency for International Development in Nicaragua is seeking applications from qualified organizations to participate in its Democratic Leadership Development Program (hereafter referred to as the Program). The purpose of the five-year Program will be to support inclusive and democratic political processes in Nicaragua through the electoral cycle of 2011-12 and beyond by encouraging responsive political leadership at the national and local levels, and supporting fair and transparent electoral

processes. Specifically, the Program will support activities designed to: develop leadership skills of young political party members, elected officials, candidates and youth; strengthen political party outreach and structures at the national and local levels; and ensure civic participation in, and civil society oversight of the 2011 national and 2012 municipal elections.

The Program contributes to the wider goals of promoting more transparent, accountable and representative democracy and governance processes in Nicaragua. The recipient will be expected to coordinate with and complement USAID civil society, local government, and participant training programs.

## **2) DEVELOPMENT CHALLENGE/ PROBLEM STATEMENT**

Since 1990, Nicaragua has made progress in improving the quality of education and health of the population, expanding its economy, and establishing a democratic process. The challenge for Nicaragua is to consolidate its fragile gains from the last nineteen years and continue to address the political, economic and social problems that hinder the country's development.

Progress toward democratic consolidation has slowed in recent years. Recently, power has been increasingly concentrated in the Presidency, and the environment for political parties, media, and civil society groups working on governance issues has become increasingly difficult. Political parties remain weak, disorganized, and highly centralized.

The municipal elections of November 2008 underscored the challenges facing democratic political processes in Nicaragua. It is essential that upcoming elections for the general elections in 2011 and municipal elections in 2012 be transparent, fair and subject to citizen oversight, in accordance with international standards.

### **Previous USAID Election and Political Party Programming**

Since 2005, USAID's program has supported strengthening Nicaragua's multi-party system and supporting fair and transparent electoral processes. Support for elections began at the end of FY 05 in preparation for the March 2006 Atlantic Coast regional elections and the November 2006 national presidential and legislative elections, and has continued through the 2008 municipal elections. USAID supported voter registration, electoral observation, civic education and training, and political party poll watcher training.

### **The Electoral Cycle: National Elections 2011 and Municipal Elections 2012**

Presidential and National Assembly elections are held together at the same time every five years. National elections, Presidential and Legislative, are scheduled for November 2011. Municipal elections are held every four years, and are scheduled for 2012.

As Nicaragua moves toward another cycle of elections, there are a number of constraints and challenges that require attention in order to improve the transparency and integrity of the electoral process. Nicaraguan civil society organizations have analyzed the electoral law, and have come to consensus on the need for electoral reform. Problems with the voter registry and access to cédulas (ID cards) have not been resolved. The inability of observers to obtain credentials for the 2008 elections as well as for the upcoming regional

elections has added an additional area of concern. In order to address these issues, it is important that civil society organizations continue to conduct analysis, establish policy reform agenda and targets, and engage in coalition-building and advocacy to ensure more transparent electoral processes in the future.

However, supporting democratic processes requires a longer-term perspective that focuses on building the institutions that underpin democracy and good governance. In addition to the more immediate election related activities, it is important to build a cadre of youth political leaders, both within and outside of political parties that are responsive to citizen concerns and able to promote more participatory and inclusive processes.

Moreover, to develop genuinely democratic processes, political parties need to become more responsive to citizen interests and concerns. Nicaraguan political parties have traditionally operated as top-down centralized structures, with deeply embedded patronage relationships at the national and local levels. As a result, citizens and party members fail to hold their leaders accountable for performance and service delivery failures. Addressing this root problem requires working with emerging leaders and local political party leaders to not only strengthen their ties to citizens but to develop party structures that strive to meet the needs of the population, rather than simply reinforcing patronage ties. A competitive multi-party system that more effectively represents people at all levels of government is an essential foundation for democratic governance that delivers public benefits to citizens.

### **3) PROGRAM OBJECTIVES:**

USAID/Nicaragua seeks to support inclusive and democratic political and electoral processes through the electoral cycle of 2011-12 and beyond. The Program will work to support democratic political processes by strengthening democratic leadership of youth, encouraging meaningful political party presence at the national and local levels, and by supporting civil society oversight of the electoral processes. The Program will support activities contributing to three overall objectives:

#### **Objective 1: Development of a core cadre of youth political leaders that foster a more transparent, participatory and democratic society.**

The Program seeks to contribute to the modernization of political leadership by developing a critical mass of youth political party leaders who understand and promote transparency, participation and other key democratic values. A key deliverable of the Program will be to develop a local consortium capable of delivering training to young leaders of political parties. It is envisioned that the existence of such a consortium will increase the likelihood that such an approach will be sustainable and would likely attract resources from various sources.

#### **Objective 2: Democratic political system in Nicaragua is enhanced through political parties that better represent citizens' interests.**

The Program promotes more effective political parties sub-nationally, by building local party leaders and strengthening local party branches, to build a more meaningful and responsive party presence locally. Special focus should be oriented towards institutionalizing internal democracy, managerial transparency and accountability, and

strengthening the presence of women and youth in politics. This component will also address these issues at the national level, but the bulk of the resources for this component should be targeted locally (80%).

### **Objective 3: Promoting Fair and Transparent Elections.**

Citizen confidence in Nicaragua's electoral institutions and democratic processes has been shaken by the irregularities of the 2008 municipal elections. Civic and voter education, civil society advocacy for electoral reform and oversight of the electoral process are essential to promote more transparent, fair and credible electoral processes in accordance with international standards.

## **4) TECHNICAL APPROACH AND CROSS CUTTING ISSUES**

### **Use of Partnerships for Program Implementation**

Applicants should consider a technical approach which includes a local consortium which will implement component one. Sub-awards to other local partner organizations may be considered for components two and three. It is important to specify that there will be one Prime Recipient that will be signatory to the agreement and responsible to USAID for administration, management and reporting. Applicants may consider partnerships which include U.S., regional (Latin American), and/or Nicaraguan organizations, including universities that have expertise and experience in the following areas: 1) implementation of sub-grants programs, 2) leadership and skills training, 3) youth leadership training and technical assistance; and 4) electoral and political process expertise. USAID/Nicaragua will look favorably on the proposed use of local partner organizations to strengthen the implementation of these components.

### **Rapid Response Fund**

In order to be positioned to provide assistance in the fluid country context, applicants should propose a rapid response fund in the amount of no more than \$200,000. Examples of opportunities which may warrant tapping into this fund could include but are not limited to changes in the assistance context such as the result of political upheaval and tension, natural and man-made disasters, and government transitions. Applicants are requested to propose illustrative uses of this fund as well as criteria for determining when to access it.

### **Gender**

Per the recommendations from the March 2004 Gender Analysis for USAID democracy and governance initiatives, this Program must ensure that gender activities are mainstreamed into activities, reporting and indicators. The Program's training activities will aim to balance the participation of women and men and include topically tied gender modules, whenever possible. If information or services are provided, then opportunities will be gender-equitable or aim to redress past gender imbalances. For public education activities related to legislative changes affecting political processes, communication efforts will be based on gender-disaggregated audience research. Whenever public or civil society dialogue about electoral reform is undertaken, efforts will be taken to invite, educate and include women's NGOs, as well as representatives from women's professional associations, gender experts and high-level women leaders. With respect to

partners, greater efforts should be made to engage the interests, skills and memberships of women's NGOs and professional associations, particularly for issue identification, advocacy, dialogue, participation and dissemination of information.

### **Local Capacity Building and Local Sub-Grants**

Building local institutional capacity should be a central goal that underpins all program components and activities. Component one could ideally be implemented by a local consortium which could include but is not limited to universities and NGOs. Under components two and three, sub-grants to Nicaraguan civil society organizations will also be built into the program, particularly focused on advocacy and election oversight. Sub-awards to local organizations should be used to encourage civil society coalitions, analysis and surveys, public dialogue and consensus building, policy reform advocacy, and voter education efforts, among other activities. Strengthening the capacity of local institutions, organizations and actors is essential for ensuring sustainable impact and should remain a cross-cutting objective throughout the life of the program.

### **Monitoring and Refinement of Technical Approach**

This Program will operate in a fluid country context, with two significant elections, over a five-year period. As a result, it is important that the recipient monitor the results of the program over time and following each electoral process or significant change in the political environment, assess the continued validity of the technical approach. In their proposals, applicants shall propose a review mechanism for tracking political events that affect program implementation and reassessing the validity of the technical approach. Given the uncertain context within which this program operates, program activities may need to be refined and adapted over time to ensure maximum program impact.

### **USAID Political Party Policy**

The recipients should propose projects and strategies which adhere to USAID **Political Party Assistance Policy**, available at <http://www.usaid.gov/policy/ads/200/200maz.pdf>. In accordance with this Policy, programs must make a good faith effort to assist all significant democratic parties with equitable levels of assistance.

## **5) COORDINATION WITH OTHER USAID PROGRAMS**

This Program is an integral part of the set of activities directed to achievement of USAID/Nicaragua's Strategic Objective 1—Ruling Justly: More Responsive, Transparent Governance (SO 1). USAID assistance in the democracy and governance area aims to strengthen democratic processes and practices that promote the rule of law, democratic political parties, transparent elections, and an open civil society. USAID assistance that will continue over the period of this program includes strengthening civil society, strengthening municipal governance, and participant training. The Recipient will be expected to coordinate actively with programs in these areas to avoid duplication of efforts.

## **6) PROGRAM COMPONENTS**

### **6.1) Formation of Young Leaders or Political Parties**

The objective of this program component is to develop a critical mass of youth political leaders that foster a more transparent, participatory and democratic society. Dynamic political leadership, based on the values of political tolerance, inclusion and transparency, forms the foundation of a democratic process. An effective leadership program can motivate political leaders to promote democratic changes within their parties, and build stronger ties between national, local party structures and citizens, leading to more responsive politics that better meets the needs of all Nicaraguans.

The Program seeks to strengthen the leadership, organizational and governing skills of emerging young leaders (under 35) active in parties, NGOs, and communities who will be instrumental in renovating politics and in transforming society's ruling ideas over time. Training will be carried out on a nationwide basis, reaching at least 500 youth per year in the 15 departments and two regions of the country. To graduate from the training program, each trainee must attend a minimum of five courses, each of which will consist of at least four modules taught over a two-day period. Topics should include but are not limited to the following:

- Leadership management
- Political management
- Democratic system of governance
- Democratic values and practices
- Institutional democracy
- Modernization of political parties
- Effective communication
- Coalition building
- Negotiation skills
- Conflict management and mitigation skills

In designing a technical approach, the applicant should clearly describe the organizations it would work with to build the local consortium responsible for delivering the training courses. The technical approach should establish a clear set of selection criteria for the leadership program which targets members of democratic parties and emerging democratic political coalitions or movements. In addition, applicants should develop a technical approach for sharing and organize complementary activities such as national, regional or international seminars for young leaders of political parties, and develop a virtual forum and digital networks locally and internationally to be organized by the consortium. The applicant should clearly describe how it would coordinate the youth leadership program with the established leadership of each political party to ensure their buy-in.

In line with the Program's cross-cutting emphasis on building local capacity, partnerships should be forged with local or regional organizations (mainly training institutes and/or universities) to provide the bulk of the training. The recipient will need to mentor this consortium and help build its capacity to deliver the training on its own. The consortium could be comprised of local academic institutions and other organizations with the capacity to coordinate activities with the Secretary Generals of all political parties represented in the National Assembly. The recipient should support the consortium in an active advisory role for the first three years of the program (until March 2013). After that period, the prime recipient is expected to provide a substantial sub-grant to the consortium to provide the training on its own.

The recipient will be expected to coordinate with USAID's proposed Participant Training Program, to ensure that training is complementary and not duplicative. The recipient will also be asked to identify high performing trainees for additional training in the Participant Training Program, and to provide follow-up support to trainees upon their return to ensure that they meet their training goals.

**Anticipated Results and Indicators:**

**Result 1:** A consortium of local or regional organizations, mainly educational institutions and/or NGO(s), is developed and fostered to deliver training modules.

**Result 2:** At least 500 youth per year in at least 15 departments graduate from the training program each year.

**Result 3:** A core cadre of young political leaders is able to engage in civic and political activities that foster a more open, participatory and democratic society.

Indicators:

- Number of Nicaraguan youth (16-35) who acquire practical leadership skills, including coalition building, conflict mitigation, negotiation, that enable them to contribute to party development and engage actively in their political party and community.
- Number of program participants who implement reform initiatives within their local party branches and/or within civic organizations.

**6.2) Political Party Strengthening: Building Effective Parties at the Local Level**

The objective of this program component is to help political parties better represent citizens' interests with special emphasis at the sub-national level. Political parties play an indispensable role in a democracy, aggregating and representing citizen interests in the political process. However, public opinion surveys show that political parties in Nicaragua are the least trusted institution in the country (LAPOP 2008). Most political parties have a history of being highly centralized and top down, with little room for dynamic leadership within local party structures. Political party presence at the local level, moreover, is marked by deeply embedded patronage relationships. As a result, citizens and party members fail to hold their leaders accountable for performance and service delivery failures.

This proposed Program seeks to combine leadership development activities with efforts to strengthen political party organization at the local level, where there is ample opportunity for direct engagement and ongoing contact between parties, members, citizens, and the community. Some complementary activities are also envisioned at the national level. This program component is closely tied to the youth leadership activities, as these components have mutually reinforcing objectives. Support for leadership development of individuals is unlikely to result in organizational changes without targeted support to the local party structures within which these leaders operate.

In accordance with existing law, political parties in Nicaragua are required to have five member municipal boards and seven member departmental boards, in addition to the national committee/board (directorios). Many political parties are unable to meet the requirements of municipal boards in all of Nicaragua's 153 municipalities. Moreover, those municipal boards that do exist are often weak and unorganized, failing to develop clear and effective local structures that forge ties with citizens and mobilize members.

Local party strengthening will focus on helping local party branches establish a more meaningful presence in the community, strengthening their structures and outreach capacity, and listening to their constituents. The applicant is encouraged to explain how its technical approach addresses the root weaknesses within the political party system. Complementary activities should be implemented at the national level; however, no more than 20% of the resources under this component should be devoted to the national level. In addition, it is important to note that the program will extend through an electoral period. While there will likely be interest from parties for assistance to address the immediate demands created by the elections (such as candidate training and media outreach training), the technical approach proposed should maintain a focus on the long term development of political parties. A maximum of 5% of costs/LOE of this component should be allocated for this sort of targeted training.

To focus efforts and avoid overly diffuse activities, the Program should focus in the first year in several target municipalities, in 2 or 3 priority departments. Selection criteria should be proposed, though final selection of municipalities should be decided in consultation with USAID/Nicaragua. A more targeted and focused approach will ensure that targeted party branches receive sufficient assistance to promote and sustain organizational change and improvement. A phased approach will also allow the Recipient to pilot activities and methods, which can be rolled out to a larger number of locations in subsequent years.

The Recipient will be expected to coordinate with the municipal governance program in the implementation of this and other components, particularly in the selection of target municipalities.

### **Anticipated Results and Indicators:**

**Result 1:** Local party branch responsiveness to citizens developed at the municipal and departmental levels.

Indicators:

- Political party municipal governing boards created and functioning in the 35 selected municipalities.
- Number of community outreach activities developed and number of new means of gathering feedback and input from members and citizens used.
- At least 2 specific public policy issues that local party leaders engage with citizens on.

**Result 2:** Sub-national party structures, such as municipal and departmental directorios (governing boards) adopt more effective and efficient organizational processes.

Indicators:

- Targeted municipal and departmental boards demonstrate improvement in at least the following areas: decision-making processes, volunteer management, strategic planning, activity implementation, and other organizational processes.
- Targeted municipal boards design and implement membership mobilization strategies.
- Communication and coordination between and among municipal and departmental party leaders increases.

**Result 3:** Local party structures adopt more inclusive membership, communication and organizational practices.

Indicators:

- Percentage increase in women's leadership roles within municipal governing boards.
- Number of strategies implemented to recruit more members among women and youth, and into party positions, including as candidates for elected office.

**Result 4:** Political party members, local level elected officials; and future and former candidates for local level elected office gain leadership and governing skills that make them more responsive to citizen needs.

Indicator:

- Number of elected officials who adopt practical and tangible measures that make them more responsive to citizen needs.

### **6.3) Promoting Fair and Transparent Elections**

The objective of this program component is to help promote Electoral processes in 2011-12 that are fair, legitimate and transparent. As Nicaragua moves toward another cycle of elections, there are a number of significant challenges to be addressed to ensure the transparency and integrity of the electoral process. Citizen confidence in Nicaragua's electoral institutions has been shaken by the irregularities of the 2008 electoral process. The failure of the CSE to transparently address the questions raised by civil society organizations and political parties regarding the 2008 local elections continues to erode confidence in the electoral process. Entering a new cycle of elections in an environment of deepening distrust can have damaging consequences.

The application shall propose a technical approach that seeks to develop a broad range of complementary oversight, advocacy, and civic education activities which, when synergistically combined, can contribute to more fair and transparent electoral processes. Applicants should describe their technical approach to supporting the 2011 presidential and legislative elections and the 2012 municipal elections. Proposals should balance the need to present a clear strategic technical approach, while allowing for some flexibility to respond to issues as they emerge in the run up to the elections. The electoral component of the program should maintain a clear focus on the underlying reforms needed for the national elections of 2011 and 2012 based on the policy reform agenda developed by local actors described under component 2.

Civil society agenda setting, coalition building, debate, advocacy and oversight is essential for a legitimate process, and sub-awards to Nicaraguan organizations are strongly

encouraged. In addition to the observation of the process, electoral reforms may be necessary to lay the framework for fair and transparent elections. The current election law is vague in places and allows for arbitrary interpretation by the CSE. Clarity and reform of certain elements of the election law could lead to clearer ‘rules of the game’ for all political parties. A coalition of Nicaraguan CSOs has identified a shortlist of electoral reforms needed to ensure a competitive and fair election, and avoid a repeat of the grave problems of 2008. This is one suggested target of policy reform. Additional public dialogue and debate, and technical analysis on these issues, is needed in advance of the national elections. This may include engaging the media on electoral issues.

While domestic CSO observation is critical for transparency in elections, the critical role of political party pollwatchers shouldn’t be underemphasized, especially in the event that domestic CSOs are not accredited by the CSE. Political party oversight of elections is critical to building confidence in the process as well as deterring fraud. Political parties generally lack the capacity to provide the training their pollwatchers need to understand their roles and responsibilities and effectively perform their functions.

During the 2006 and 2008 electoral processes, a number of bottlenecks in voter card delivery emerged, that were both technical and political in nature. Difficulties that many citizens faced in obtaining ID documents have been documented. Applicants shall propose an approach to identifying any bottlenecks that remain, ensuring oversight of this process, and raising public awareness regarding citizen IDs.

Election administration support would be considered under this Program only if there are positive and substantive electoral reforms announced that would lead to more transparent and fair electoral processes. In this case, the Program would consider providing support for the implementation of these changes to governmental and non-governmental actors.

### **Anticipated Results and Indicators:**

**Result 1:** Robust observation and oversight of the electoral process by civil society, political parties and media.

Indicators:

- Number of accurate and impartial media reports on the electoral process.
- Increase in the number of domestic civil society organization monitor all relevant aspects of the electoral process, including voter registration, party and candidate registration, political finance, and election administration (using traditional and/or non-traditional means).
- Number of political party pollwatchers equipped with the skills to enable them to fully perform their oversight roles.
- Number of civil society organizations that implement independent vote count verification methods.

**Result 2:** Civil society advocates for electoral reform measures that lead to a fair and transparent process

Indicators:

- Number of substantive and inclusive debates occurs on proposed electoral reform.

- Number of proposed legal reforms pertaining to elections and political processes that provide for non-discrimination against women and disadvantaged groups.

**Result 3:** Nicaraguan citizens understand the electoral process, and how to exercise their right to vote.

Indicators:

- Number of youth, women and other traditionally underrepresented sectors equipped with the skills to participate in electoral processes.
- Number of citizens who understand where and how to obtain an ID and register to vote.

[END OF SECTION I]

## **SECTION II – AWARD INFORMATION**

### **A. Estimate of Funds Available**

Subject to the availability of funds, USAID intends to provide up to \$10,200,000 in total USAID funding for the life of the activity including \$750,000 for sub-grants (a maximum of \$150,000 per year). In addition, a significant amount should be budgeted to support the consortium under component 1 in years 4 and 5 as stated in the Program Description under Section 6.1. All programs should include a plan for seeking additional funding outside of USAID. Cost sharing of 15% of component 1 is required. Additional leveraging of funding and resources is encouraged.

### **B. Number of Awards Contemplated**

USAID intends to award one (1) Cooperative Agreement pursuant to this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value to the U.S. Government. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept alternate applications, and (e) waive informalities and minor irregularities in applications received. USAID reserves the right to fund any or none of the applications submitted.

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

### **C. Start Date and Period of Performance**

The period of performance anticipated herein is 5 years. The estimated start date is on or about April 30, 2010.

### **D. Type of Award**

USAID plans to negotiate and award an assistance instrument known as a Cooperative Agreement with the selected applicant. A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer Technical Representative (AOTR). The intended purpose of the AOTR involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. The minimal substantial involvement elements for this award are listed below:

- (1) Approval of Recipient’s annual implementation plan,
- (2) Approval of performance monitoring plan,
- (3) Approval of specified key personnel and
- (4) Concurrence on the selection of all sub-awards recipients.

[END OF SECTION II]

### **SECTION III – ELIGIBILITY INFORMATION**

#### **A. Eligible Applicants**

Qualified applicants may be U.S. private voluntary organizations (U.S. PVOs) and/or U.S. or non-U.S. Non-governmental organizations (NGOs), private, non-profit organizations (or for-profit companies willing to forego profits), including universities, research organizations, professional associations, and relevant special interest associations. Faith-based and community organizations are also eligible for award. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners.

In addition, for organizations to be deemed eligible, authorized officials from applicant organizations must complete the requisite United States Government Representations and Certifications attached at Annex A.

Applicants must have established financial management, monitoring and evaluation, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. All potential awardees will be subject to a responsibility determination (pre-award audit) issued by a warranted Agreements Officer in USAID.

#### **B. Cost Sharing**

Cost share is required for participation in this program. In addition to USAID funds, applicants are to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in kind and can include contributions from the applicant, local counterpart organizations, project clients, or other donors (not other USG funding sources). This may be from program generated funds such as client savings, interest and fees in accordance with USAID standard provisions on cost sharing. Applications must show any cost sharing proposed. Required criteria for cost-sharing contributions are in the Code of Federal Regulations (CFR) Section 226.23.

The cost-sharing portion of the project should include funding that third-parties (non U.S. Government sources) will bring to this activity. The recipient shall present a plan and budget for cost-sharing to spend funds from non-U.S. Government sources. The proposal should provide a break-down of the financial (cash) and in-kind contributions (services, properties, donated goods/services, equipment, etc) involved in the development of this project.

The leadership development component under Objective 1 *Development of a core cadre of youth political leaders that foster a more transparent, participatory and democratic society*, presents the opportunity for the grant recipient to develop its own capacity, especially after the third year with the creation of a local consortium, which will be responsible for ensuring that the training continues through local institutions. The local consortium will mainly focus on the development of leadership skills of youth who are political party or civil society members, young elected officials or candidates.

This activity will continue after USAID assistance ends, thus cost sharing requirements can ensure that the recipient establishes adequate alternate sources of funding such as the creation of a counterpart fund. This cash counterpart could be obtained by the third year of the program by ensuring local financing sources to cosponsor the initiative. Ideally, initial commitments should be established with political parties, National Assembly, Executive Power and/or local private donors. It is foreseen that the consortium could meet the cost share target through several means: a) payment of tuition, total or partial, by the parties who benefit from the program, Election Commission or other governmental institutions; b) tuition paid directly by students participating in postgraduate courses implemented by the Program; and c) specific support from development agencies and international or local foundations or private businesses.

For the above-stated reasons the needs and the purpose of component one of the program will benefit from cost sharing. However, given that the implementers of this training component are likely to be financially fragile, the cost sharing requirement for this RFA is only 15% of the total cost of component one.

[END OF SECTION III]

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

### **A. Point of Contact**

Ms. Maria Lourdes Baltodano  
USAID/Nicaragua  
Office of Acquisition and Assistance

Embajada Americana  
Kilometro 5.5 Carretera Sur  
Frente al Parque “Las Piedrecitas”  
Managua, Nicaragua

Any questions concerning this RFA must be submitted in writing to Ms. Maria Lourdes Baltodano, A&A Specialist or Ms. Mappy Cortez, A&A Assistant via Internet at [mabaltodano@usaid.gov](mailto:mabaltodano@usaid.gov) or [mcortez@usaid.gov](mailto:mcortez@usaid.gov) or via facsimile at +505 2252-7285 by 4:30 p.m. (Nicaragua time) on December 7, 2009. 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. Required Forms**

Applicants must submit the application using the SF-424 series, which includes the:

- SF-424, Application for Federal Assistance,
- SF-424A, Budget Information – Nonconstruction Programs, and
- SF-424B, Assurances – Nonconstruction Programs.

These forms are not included in this RFA but can be found at the following website:  
[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

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

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

- a. A signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs;
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- c. A signed copy of the “Certification Regarding Terrorist Funding” required by the Internal Mandatory Reference AAPD 04-14; and

- d. All applicants must provide a Data Universal Numbering System (DUNS) Number.
- e. US applicants must submit their Tax Identification Number (TIN) number.

**D. APPLICATION PREPARATION GUIDELINES**

USAID will accept applications from eligible applicants per Section III A of this RFA. Application may be submitted by institutions individually or in group. In the case of a group, the application must include only one prime applicant, which shall enter into sub-agreements or contracts with partnering institutions. In this case, the Prime Applicant(s) will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners. For the purposes of this RFA, the term “applicant” is used to refer to the prime and any proposed partners.

Application received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the applications. Applications which are incomplete are not directly responsive to the terms, conditions; specifications and provisions of this RFA may be categorized as non-responsive and eliminated from further consideration.

The technical and cost portions of the application should be submitted as an attachment to an electronic mail. Electronic technical and cost proposals must be submitted on separate e-mails. The technical application must be in Microsoft Word format while the cost application must have text in Microsoft Word and with budgets/spreadsheets in Microsoft Excel format. Electronic delivery shall be made to the following e-mail address:

Ms. Maria Lourdes Baltodano (Technical and Cost Application)  
Internet Address: [oaanicaragua@usaid.gov](mailto:oaanicaragua@usaid.gov)

In addition to the electronic application, hard copy applications shall be submitted in two separate volumes: (a) technical and (b) cost or business application. The technical and cost or business application must be separately placed in sealed envelopes clearly marked on the outside with the following words "RFA No. 524-10-002 Technical or Cost/Business (as appropriate) Application." These individual envelopes must then be bundled to be received as one complete package. The package should be sent to the address stated below within three days after the due date and time of receipt of electronic applications. Application should be sent to the following address:

Embajada Americana  
Kilometro 5.5 Carretera Sur  
Frente al Parque “Las Piedrecitas”  
Managua, Nicaragua

Attention: Ms. Maria Lourdes Baltodano,  
Office of Acquisition and Assistance, USAID

Telephone (505) 2252-7233

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA. Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

Application that are submitted late, incomplete or are considered to be non-responsive to this RFA may be eliminated from further consideration.

## **E. TECHNICAL APPLICATION FORMAT**

The Technical Application shall contain the following sections: (1) a Cover Page; (1) an Application Executive Summary; (3) a Program Narrative; (4) an Implementation Plan; (5) Institutional Capability and Past Performance; and (6) the Annex (Resumes & Letters of Commitment). Page limitations are specified below for each section; applications must be on letter paper (8-1/2 by 11 inch), single spaced, 12 pitch type or larger, and have at least one inch margins on the top, bottom and both sides.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

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

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

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

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

**E.1 Cover Page:** A single page with the names of the organizations/institutions involved in the proposed application. In the case of a group, please indicate the lead or primary applicant clearly; followed by any proposed subgrantees and/or contractors (hereafter referred to as "subs"), including a brief narrative describing the unique capacities/skills being brought to the program by each institutions. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address and telephone and fax numbers. Also state

whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.

**E.2 Application Executive Summary:** A two page brief description of proposed activities, goals, and anticipated results (both quantitative and qualitative). Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program.

**E.3 Program Narrative:** In twenty (20) pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The narrative should provide a clear description of what the Applicant proposes to do and application's structure should reflect the evaluation criteria. The following sections should be included:

**E.4 Implementation Plan/Work Plan:** Provide a 1-year project implementation plan including main activities of the project. For more information on the Work Plan refer to Section VI.

**E.5 Performance Monitoring Plan (PMP):** A maximum three (3) page plan that will reliably quantify program progress and impact and demonstrate accountability for monitoring progress.

**E.6 Institutional Capability and Past Performance:** In five (5) pages or less, include a description of all contracts, grants, and cooperative agreements which the applicant has implemented involving similar or related programs over the past four years with USAID or with other organizations (both commercial, governmental, and NGO). Include the following:

(a) Name and address of organization for which the work was performed;

(b) Current telephone number of responsible representative of the organization for which the work was performed;

(c) Agreement (or grant/contract) name and number (if any), annual amount received for each of the last four years, and beginning and ending dates; and

(d) Brief description of the project/assistance activity and a summary of results achieved.

**E.7 Annex:**

#### **Resumes and Letters of Commitment**

Applicants are to include in this Annex the resumes and letters of commitment for each individual who will work at least 75% of his/her time on the program. The resumes must be no more than two pages each, and the letters of commitment must not exceed a single page each.

#### **F. COST/BUSINESS APPLICATION FORMAT**

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 a Grant 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.

The following sections describe the documentation that applicants for Assistance award 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 details.

1. The Cost/Business application must be completely separate from the applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."
2. The cost application should be for a period of up to 60 months using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
3. The budget to be presented under Cost/Business Application should relate to results while also showing the inputs (see item 10, below) for each result as well as overall. A matrix format will probably be most suitable.
4. In the case of a group application, the Cost/Business application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, 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.
5. The required Certifications should be included with the cost proposal.
6. The proposed budget should provide cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities. Accordingly, those applications with minimal administrative costs may be deemed to offer a "greater value" than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may be deemed to offer a "greater value."

Include a chart containing the main activities of the program. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementers; and (b) time frame, noting estimated dates of completion; and (c) the respective cost. Note that this is a similar chart to the one requested under the Technical Application, but also including cost.

7. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure

you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.

8. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on line items.
9. In addition to providing summary cost data in the SF424A format noted above, applicants are required to summarize cost data using development-focused budgeting (DFB) in cost applications submitted in response to this solicitation. DFB is a customer-based, performance-driven, results-oriented budget system underpinned by outcome management and tied to the approved Operational Plan Program Elements authorized for this activity. Outcome management is a management approach that focuses on the development results achieved by providing a service.

DFB involves summarizing cost data to corresponding development results/outcomes. Cost data must be summarized in both the SF424A and DFB categories. If an input serves multiple development results, the applicant must allocate the input across the corresponding results and provide a rationale in the budget narrative for the method used for each allocated input.

Cost applications must also include all supporting input-based budgeting for both summary formats and comply with other instructions for cost applications (e.g., breakout of costs at the country versus headquarters level) contained elsewhere in this solicitation.

**Budget Notes:** an accompanying budget narrative by line item which provides in detail the total costs for implementation of the program and achieving results your organization is proposing per year. The budget narrative must adequately and sufficiently explain the calculation for all proposed costs. Please ensure that the information provided is sufficient to provide a basis for USAID to determine that the costs proposed are reasonable and realistic.

Please include the breakdown of all input costs according to each partner organization involved in the program and the breakdown of the financial and in-kind contributions of all organizations.

**Salary and Wages** - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

**Fringe Benefits** - If the applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

**Travel and Transportation** - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diem should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

**Other Direct Costs** - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, etc. The narrative should provide a breakdown and support for all and each other direct costs.

**Indirect Costs** – The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

Local Institutions usually do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government. Therefore no indirect costs should be included in the cost/business application submitted by local NGOs. Local institutions submitting applications should treat all indirect costs as direct costs.

**Seminars and Conferences** - The applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

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

**Source and Origin Requirements** - Goods and services provided by the Recipients under this USAID-financed award shall have their source and origin in the United States (000).

10. Please include information on the organization's financial status and management, including:
  - (a) Audited financial statements for the past three years,
  - (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
  - (c) 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.

- (d) If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

11. The application should include information that substantiates that the applicant:

- (a) Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
- (b) Has the ability to comply with the Agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.
- (c) Has a satisfactory record of performance. In the absence of evidence to the contrary or circumstances properly beyond the control of the applicant, applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and Cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer will collect and evaluate data on past performance of applicants using information from sources provided in accordance with Paragraph 10 above.
- (d) Has a satisfactory record of integrity and business ethics.
- (e) Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

Applicant may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organization shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

12. Cost Sharing: Cost sharing is an important element of the USAID' recipient relationship. In addition to USAID funds, the applicant is encouraged to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in kind and can include contributions from the NGO, local counterpart organizations, project clients, the Government and other donors (not other USG funding sources). This may be from program generated funds such as client savings, interest and fees in line with USAID standard provisions on cost sharing.

13. Unnecessarily elaborate applications: 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 artwork,

expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

[END OF SECTION IV]

## **SECTION V – APPLICATION REVIEW INFORMATION**

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Cost applications will be evaluated for general reasonableness, allowability, and allocability. Award will be made to the responsible applicant(s) whose application offers the greatest value to the US Government.

The final award decision is made by the Agreement Officer, with consideration of the Technical Evaluation Committee recommendations.

**The following technical evaluation criteria are listed in descending order of importance.**

### **I. PROGRAM APPROACH**

#### 1. Technical Approach

- Adequacy and realism of approach in meeting expected results
- Viability of proposed consortium
- Quality and adequacy of youth training and small grants
- Understanding of constraints/challenges of assistance context, including other donor engagement, university, NGO and local policy environment
- Plan for gender integration and reporting

#### 2. Management and Staffing Plan

The Prime Recipient should propose an expatriate Chief of Party and a Nicaraguan Deputy Chief of Party.

- Adequacy of proposed staffing plan
- Adequacy of key personnel

The following key personnel will be evaluated based on their relevant prior experience directly related to the proposed positions and work to be carried out, including technical qualifications, professional competence, relevant political party development and/or elections background, language ability, and demonstrated experience.

- Chief of Party [international]
- Deputy Chief of Party [local]
- Pool of key consultants
  
- Clear delineation of responsibilities for field staff and home office staff
- Appropriateness of delineation of responsibilities for field and home office staff to managing for results

3. Performance Monitoring and Evaluation Plan

- Adequacy of proposed indicators for measuring progress toward expected results
- Realism of proposed targets
- Plan for collecting, evaluating and validating data
- Adequacy of plan for conducting periodic independent evaluations

4. Organizational Experience

- Demonstrated relevant technical experience and quality of performance in programs of similar technical content and scope in developing countries, preferably in Latin America.
- Capacity to work in partnership with USAID and local actors in a complex political environment
- Effective working relationships with USAID Missions where implementing similar work
- Grant compliance where implementing similar work
- Achievement of documented results in similar activities

Information on past performance must be provided in accordance with the following table. USAID/El Salvador and/or USAID/Nicaragua may contact the individual(s) indicated as well as others.

Instrument Number

Instrument Number	Name of Organization	Contact (Name, phone, fax, email)	Funding Amount	Period of Performance	Place of Performance	Brief Description of Work

**COST/BUSINESS EVALUATION**

Cost/Business Applications will be reviewed for cost realism. Cost has not been assigned a weight but will be evaluated for general reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail and financial feasibility and cost sharing. While cost may be a determining factor in the final award decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA.

**BRANDING STRATEGY AND MARKING PLAN**

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub award, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; 22 CFR 226.91.

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the “apparent successful applicant,” as defined in the regulation. The apparent successful applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions “Branding Strategy,” “Marking Plan,” and “Marking of USAID-funded Assistance Awards” 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). The acceptability of the Branding Strategy and Marking Plan from the apparently successful applicant will be a determining factor of award eligibility. If the Branding Strategy and Marking Plan are not approved, USAID reserves the right to eliminate the apparently successful applicant from further consideration and proceed with award to the next eligible, highly ranked applicant for award.

See Section VIII.

## **AWARD**

Award will be made to the responsible applicant whose application offers the best value, cost and other factors considered. The final award decision is made, while considering the recommendations of the Technical Evaluation Committee, by the Agreement Officer.

The Agreement Officer’s decision about the funding of an award is final and not subject to review. Any information that may impact the Agreement Officer’s decision shall be directed to the Agreement Officer.

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 Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

[END OF SECTION V]

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

Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted to the Recipient for countersignature to the authorized agent of the successful organization electronically, to be followed by original copies for execution.

### **A. ROLES AND RESPONSIBILITIES**

The recipient shall be responsible to USAID/Nicaragua for all matters related to the execution of the agreement. Specifically, the recipient shall report to the USAID Agreement Officer Technical Representative (AOTR) located within the Democracy and Governance Office (DG). The AOTR will be designated through a separate letter which will be sent to the recipient.

### **B. ANNUAL WORKPLANS AND REPORTING**

#### **Performance Monitoring and Evaluation System**

Applicants must develop a Performance Monitoring and Evaluation Plan (PMP) tailored to the development objectives and required indicators established for this activity. The PMP shall include both baseline and control data in order to draw valid inferences about the impact of activities. The PMP is an important tool for planning, managing and documenting how quantitative and qualitative data are collected and used for monitoring, evaluating and reporting progress, results and development impact during the 60-month life of this activity.

The PMP to be submitted by applicants should include at least 1 indicator to track progress toward each result. For each indicator proposed, the Applicant shall address how the indicator measures achievement of the result or progress towards it. The PMP will be evaluated according to Selection Criteria No. 3, *Performance Monitoring and Evaluation Plan*, under Section V of this RFP. The plan for collecting, evaluating and validating data should be included in the PMP. Each plan shall be separate and neither plan contributes to the 40-page limitation. The PMP will be updated annually.

#### **Annual Work Plans**

The award recipient will be responsible for developing work plans in collaboration with the AOTR and other appropriate partners for the 5-year period of the Agreement. An illustrative work plan for the first year must be submitted as part of the application. Within 30 days of award of the Grant Agreement, a final work plan for the first year must be submitted to USAID, including key activities and milestones and how all baseline and indicator targets will be set within the first 90 days. All Annual Work Plan documents should be submitted in English.

The work plan shall include at a minimum: Proposed accomplishments and expected progress towards achieving results and performance measures in the Performance Monitoring Plan; Timeline for implementation, including milestones and target completion dates; Information on how activities will be implemented; Any equipment or commodities to be procured; Management Plan and Detailed budget.

The Management plan should describe the organization's capacity to work effectively with relevant host country institutions, non-governmental organizations, universities and other donors in achieving project results. The management plan shall describe the organization's plan for capacity building of local institutions in Nicaragua, based on their experience in similar impoverished, complex and volatile environments. The management plan shall also describe challenges faced by the organization with respect to carrying out project activities that may require particular attention, and how the organization intends to monitor and address these challenges. Finally the plan shall include a proposed organogram, with a brief statement of the management approach, roles and responsibilities for all staff, home office personnel, local advisors, long and short term advisors. The management plan shall include a statement on the extent to which progress achieved during the project period is expected to be sustained after the end of the project.

### **Quarterly Progress Reports**

The recipient will submit an original and one copy (in English) of a quarterly performance report on activities. The quarterly performance report will briefly present the information on all activities carried out during the quarter, progress made and plans for the next quarter. The quarterly report must also specify any problems encountered and indicate resolutions of propose corrective actions.

The final performance report will follow the same format as the quarterly reports, but focus on accomplishments. The Recipient will also ensure that best practices and lessons learned are shared with USAID staff and present those in the final report at the conclusion of the project.

### **Quarterly Financial Reports**

The recipient shall provide USAID with quarterly financial reports through Standard Form 269, 270 or 1034 based on the approved payment method in the award and in accordance with 22 CFR 226.52 *Financial Reporting*.

The recipient will submit quarterly accruals electronically no later than the 15th day of the month and shall be presented using a format to be provided by USAID.

### **Final Agreement Completion Report**

The recipient shall prepare and submit a final/completion report to the AOTR which summarizes the accomplishments of this agreement, lessons learned, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this agreement.

### **Other Project**

#### **Annual Reports**

To facilitate the Mission's preparation of its Annual Report to USAID/Washington, the recipient will be asked to provide an Annual Report based on the U.S. Government's fiscal

year (October 1 – September 30). This report will be provided in lieu of a quarterly report o/a November 1 of each year of implementation. Progress on performance data should be presented for the preceding quarter and also cumulatively. Annual Reports must be submitted in English.

[END OF SECTION VI]

## **SECTION VII – AGENCY CONTACTS**

### **The Agreement Officer for this Award is:**

Mr. David Brown  
Director  
Regional Office of Acquisition and Assistance for Central America and Mexico  
[dbrown@usaid.gov](mailto:dbrown@usaid.gov)

### **The A&A Specialist for this Award is:**

Ms. Maria Lourdes Baltodano  
A&A Specialist  
USAID/Nicaragua  
Embajada Americana  
Kilometro 5.5 Carretera Sur  
Frente al Parque “Las Piedrecitas”  
Managua, Nicaragua

Tel: +505 2252-7233  
Fax: +505 2252-7285

Questions under this RFA must be submitted in writing to Ms. Maria Lourdes Baltodano, A&A Specialist or Ms. Mappy Cortez, A&A Assistant via Internet at [mabaltodano@usaid.gov](mailto:mabaltodano@usaid.gov) or [mcortez@usaid.gov](mailto:mcortez@usaid.gov) or via facsimile at +505 2252-7285.

[END OF SECTION VII]

## **SECTION VIII – OTHER INFORMATION**

### **BRANDING STRATEGY - ASSISTANCE (December 2005)**

(a) Definitions:

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

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

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

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

(c) Submission Requirements

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

(1) Positioning

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

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

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

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

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

## (2) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.

What communications or program materials will be used to explain or market the program to beneficiaries?

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

What is the main program message(s)?

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

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

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

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

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

(3) Acknowledgements

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

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

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

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

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful

Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

**MARKING PLAN – ASSISTANCE (December 2005)**

(a) Definitions

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

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

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

A Presumptive Exception exempts the applicant from the general marking requirements for a particular USAID-funded public communication, commodity, program material or other deliverable, or a category of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

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

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

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

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

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

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

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

budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) Submission Requirements. The Marking Plan will include the following:

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

## **MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)**

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

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

“As a condition of receipt of this sub award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, sub recipient’s , other donor’s or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub recipient, USAID may, at its discretion, require marking by the sub recipient with the USAID Identity.”

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

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

(c) Implementation of marking requirements.

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

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [Agreement Officer fill-in] days after the effective date of this provision. The plan will include:

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

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

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

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

- (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
  - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
  - (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
  - (iv) USAID marking requirements would impair the functionality of an item;
  - (v) USAID marking requirements would incur substantial costs or be impractical;
  - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
  - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.
- (d) Waivers.
- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
  - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

- (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
- (4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
- (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer’s cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer’s waiver determination to the cognizant Assistant Administrator.
- (e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

#### **ATTACHMENTS AND ANNEXES**

- Certifications, Assurances, and Other Statements of the Recipient (May 2006)
- Survey on Ensuring Equal Opportunity for Applicants

[END OF SECTION VIII]

**ANNEX A**

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

**U.S. Agency for International Development**

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

**PART I**

**CERTIFICATIONS AND ASSURANCES**

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

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

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

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

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

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

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

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

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

behalf of the recipient.

**1. CERTIFICATION REGARDING LOBBYING**

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

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Statement for Loan Guarantees and Loan Insurance**

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

**2. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224**

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's

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Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

- b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
- a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
  - b. "Terrorist act" means-
    - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
    - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub national groups or clandestine agents; or
    - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
  - c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
  - d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
  - e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services

commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

**3. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (JUNE 2005)**

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b) Except as noted in the second sentence of this paragraph, as a condition of entering into this agreement or any subagreement, a non-governmental organization or public international organization recipient/subrecipient must have a policy explicitly opposing prostitution and sex trafficking. The following organizations are exempt from this paragraph: the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(c) The following definition applies for purposes of this provision:  
Sex trafficking means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all subagreements.

(e) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

(End of Provision)

Certification

“\_\_\_\_\_ certifies compliance as applicable with the standard provisions entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking” included in the referenced agreement.”

**4. CERTIFICATION OF RECIPIENT**

By signing below the recipient provides certifications and assurances for (1) the Certification Regarding Lobbying, (2) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 and (3) Prohibition on Promotion or Advocacy of the Legislation and Practice of Prostitution and Sex Trafficking – Assistance - above:

As applicable:

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

Application: \_\_\_\_\_

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

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

REQUEST FOR APPLICATION (RFA) No 524-10-002

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

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

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

**SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

**PLEASE REFER TO AAPD 04-08 - "Ensuring Equal Opportunity for Faith-Based and Community Organizations" At The Following Website:**

[http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd04\\_08.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf)

**PART II**

**OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**5. TYPE OF ORGANIZATION**

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

- (a) If the recipient is a U.S. entity, it operates as  a corporation incorporated under the laws of the State of \_\_\_\_\_,  an individual  a partnership,  a non-governmental nonprofit organization,  a state or local governmental organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or
- (b) If the recipient is a U.S. entity, it  is,  is not a Gray Amendment entity, as defined below.
- (c) If the recipient is a Gray Amendment Entity, it is  a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101),  an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU),  a college or university having a student body in which more than 40% of the students are Hispanic American, or  a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).
- (d) If the recipient is a non-U.S. entity, it operates as  a corporation organized under the laws of \_\_\_\_\_ (country),  an individual,  a partnership,  a nongovernmental nonprofit organization,  a nongovernmental educational institution,  a governmental organization,  an international organization, or  a joint venture.

**6. PROCUREMENT INFORMATION**

- (a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub-grant or sub-agreement) to a sub-grantee or sub-recipient in support of the sub-grantee's or sub recipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.
- (b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant: \$ \_\_\_\_\_
- (c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment, which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Non-expendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant. having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

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

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

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

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

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each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Supplier Nationality (Non-U.S. Only)</u>	<u>Rationale for Non-U.S.</u>

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

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

**END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF RECIPIENT**

Name and Title: \_\_\_\_\_  
 Name of Organization: \_\_\_\_\_  
 Date: \_\_\_\_\_