

SUBJECT : Notice of Funding Opportunity (NFO)  
ANNOUNCEMENT TYPE : Annual Program Statement (APS)  
NFO NUMBER : 72049219APS00001, Amendment #2  
CFDA NUMBER : 98.001  
ISSUANCE DATE : April 15, 2019  
CLOSING DATE FOR QUESTIONS : April 26, 2019, 3:00PM PhST (Philippine Standard  
Time)  
ISSUANCE DATE OF AMENDMENT #2 : June 10, 2019  
CLOSING DATE FOR APPLICATIONS : See specific Addendum/s issued under this APS.

The purpose of Amendment #2 is to complete a sentence in SECTION D: APPLICATION AND SUBMISSION INFORMATION FOR ADDENDUMS ISSUED UNDER THIS APS, in paragraph eight of page 22, so that it now reads: "Full application will be reviewed based on the Evaluation Criteria provided in ***E.2.a(2)***." Please see section highlighted in yellow of the attached APS.

Sincerely,

/s/

Sandra Jansen  
Agreement Officer  
Regional Office of Acquisition and Assistance

## SECTION A: GENERAL PROGRAM DESCRIPTION

### A.1 TITLE

The title of this Annual Program Statement is “INITIATIVES FOR DEMOCRACY”.

### A.2 INTRODUCTION

The United States Agency for International Development mission in the Philippines (USAID or USAID/Philippines) is pleased to announce the Initiatives for Democracy Annual Program Statement (APS). Through this APS, USAID is soliciting applications for effective and innovative approaches and interventions that contribute to achieving the mission’s high level goal of “Enhanced democratic governance that provides economic and political inclusion and advances social stability.” Specifically, awards made through this APS are expected to build upon past USAID support in the four (4) programming areas of the Initiatives for Democracy-- human rights, media, elections and political participation, and local governance. Total estimated cost of this APS is \$30 million, subject to availability of funds.

The scope and objectives of the Initiatives for Democracy contribute to the Philippine Development Plan<sup>1</sup> of President Rodrigo Roa Duterte’s administration, 2017-2022, most notably the government’s commitment to:

- Fully engage and empower citizenry and advance participatory governance under Chapter 5 - Ensuring People-Centered, Clean and Efficient Governance;
- Deliver fair and equal justice including efforts to facilitate access to justice and advance human rights under Chapter 6 - Pursuing Swift and Fair Administration of Justice;
- Ensure compliance with requirements set by international human rights standards, under Chapter 18 - Ensuring Security, Public Order and Safety.

This APS also contributes to the country’s pledge to the Sustainable Development Goals, particularly Goal 16, to Promote Peaceful and Inclusive Societies for Sustainable Development, Provide Access to Justice for All, and Build Effective, Accountable Institutions at All Levels.<sup>2</sup>

### A.3 BACKGROUND

The Philippines is a treaty ally and priority partner of the U.S., with a strategic location in the Indo-Pacific region. The U.S. government’s vision for the Indo-Pacific region,<sup>3</sup> amplified by the

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<sup>1</sup> <http://www.neda.gov.ph/philippine-development-plan-2017-2022/>

<sup>2</sup> <https://psa.gov.ph/sdg/Philippines/baselinedata/16%20Peace%2C%20Justice%20and%20Strong%20Institutions>

Asia Reassurance Initiative Act,<sup>4</sup> highlights democratic governance as one of the key pillars of American partnerships in Asia, including the Philippines. Under the U.S. government's Indo-Pacific vision, the United States seeks to promote transparent and accountable governance practices, bolster the resilience of democratic institutions that are responsive to their citizens, and safeguard democratic values. Democratic governance is envisioned to include deep and prominent civil society engagement, highlighting its role in achieving development and advancing human rights.

Democratic governance is also at the center of the USAID Administrator's global vision of self-reliance, in which partner countries are better able to plan, finance and implement solutions to its own development challenges. The Journey to Self-Reliance will be best achieved by an open, accountable and democratic government that meaningfully engages an active and diverse civil society and private sector to realize inclusive development.<sup>5</sup>

One of the oldest democracies in Asia, the Philippines possesses the fundamentals to become a stronger stalwart of democratic governance in the Indo-Pacific. Among the well-documented strengths of the country's democracy are the continued public preference for democratic rights and freedoms, generally peaceful and credible elections, a substantial degree of decentralization, pluralistic and vigilant civil society and media, a military that respects the constitution, and a legal framework generally supportive of inclusion and equality, especially for women.

Nevertheless, to fully achieve self-reliance, emerging and chronic deficiencies in democratic governance need to be addressed. This includes not only the widely noted democratic backsliding of recent years, but also long-standing constraints to open and pluralistic democratic space. The political and economic spheres are generally elite-dominated, which can limit the impact of interventions to address inclusion. Accounts of government responsiveness and effectiveness are mixed, with marked challenges in public spending and procurement, control of corruption, and service delivery. Local governments' performance is likewise inconsistent, and many municipalities have struggled to reduce poverty. Independent institutions, such as congress and the judiciary, also face constraints that limit effectiveness in balancing a strong executive branch; congressional seats are dominated by political dynasties, and judicial processes are generally elongated. Pro-democracy groups, particularly civil society and the media, are confronted by old and new threats including political pressure, financial dependence, fragmentation, generational change and political disinformation.

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<sup>3</sup> <https://www.whitehouse.gov/briefings-statements/president-trumps-administration-advancing-free-open-indo-pacific-investments-partnerships-economics-security-governance/>,  
<https://www.state.gov/secretary/remarks/2018/07/284722.htm> and  
<https://www.usaid.gov/news-information/press-releases/jul-30-2018-administrator-mark-green-remarks-indo-pacific-business-forum>

<sup>4</sup> <https://www.congress.gov/bill/115th-congress/senate-bill/2736/text>

<sup>5</sup> [https://www.usaid.gov/sites/default/files/documents/1870/J2SR\\_Fact\\_Sheet.pdf](https://www.usaid.gov/sites/default/files/documents/1870/J2SR_Fact_Sheet.pdf)

## Initiatives for Democracy Objectives

In line with the U.S. government's Indo-Pacific vision, this APS will support interventions along four (4) objectives, which will be fleshed out in separately-issued Addendums:

### 1. Media capacity and independence advanced

A strong and independent media is critical to a well-functioning democracy. By providing access to information, media ensures that citizens are able to make informed and responsible choices. By performing its checking functions, media is integral to transparent and accountable governance. Media also provides an important platform for citizens to exercise the right to freedom of opinion and expression, an essential tenet of liberal democracy.

Press freedom is guaranteed by the Philippine Constitution. Since re-democratization in 1986, the media ecosystem has been dynamic and has played a pivotal role in the country's politics and governance. There are about 1,300 radio stations, close to 400 television stations, over 1,200 cable television stations, and about 50 newspapers in the Philippines.<sup>6</sup> Television enjoys the widest coverage with over 70% of Filipinos watching television at least once weekly,<sup>7</sup> and is the most trusted source of political information.<sup>8</sup>

However, Philippine media, as a democratic institution, is beset with challenges. While the country relatively performed better than ASEAN neighbors against the 2018 World Press Freedom Index,<sup>9</sup> its ranking dipped 6 notches from the previous year-- attributable to violence against media actors. The Philippines abuses score under the index is worse than Cambodia, Myanmar and Laos, labeling the country as the deadliest in Asia for journalists. Media ownership is highly concentrated; two of the major broadcast companies account for about 80% of the television audience and close to 50% of the radio listenership.<sup>10</sup> Self-regulation is spotty, and among the weaknesses are insufficient mechanisms and disincentives to discipline unethical behavior.<sup>11</sup>

Among the alarming threats to media are distortions that have been collectively termed "information disorder," including misinformation, disinformation and "mal-information," i.e. genuine information that is shared to cause harm.<sup>12</sup> While information fabrication and manipulation are not new, the internet and social apps have changed significantly the way information is produced and distributed: it is now cheaper and widely accessible, faster and

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<sup>6</sup> <https://psa.gov.ph/sites/default/files/PIF%202016.pdf>

<sup>7</sup> 2013 Functional Literacy, Education and Mass Media Survey, Philippine Statistics Authority cited in

<https://philippines.mom-rsf.org/en/media/tv/>

<sup>8</sup> The Philippine Trust Index, 2015 by EON, cited in <https://philippines.mom-rsf.org/en/media/tv/>

<sup>9</sup> <https://rsf.org/en/philippines>

<sup>10</sup> 2016 TV Audience Measurement, Nielsen Philippines, cited in <https://philippines.mom-rsf.org/en/media/tv/>

<sup>11</sup> <https://cmfr-phil.org/media-watch/does-self-regulation-have-a-future-in-the-philippines/>

<sup>12</sup> A 2017 Council of Europe report introduces a conceptual framework for tackling information disorder and explains constructs behind the phenomenon, <https://rm.coe.int/information-disorder-toward-an-interdisciplinary-framework-for-research/168076277c>

done in real-time, highly personalized thus less likely to be challenged.<sup>13</sup> Digital connectivity opened a vast space for citizens' voices and engagement; however, the same space is also hijacked to distort public policy debates, limit political dissent, exploit public opinion and divisiveness, and discredit media, as observed in the Philippines.<sup>14</sup>

The APS invites innovative applications to advance media capacity and independence in three (3) areas:

***Improve the environment for a free press*** - Capitalizing on the symbiotic relationship between civil society and the media, USAID intends to support a broad and diverse coalition of stakeholders and champions who will work with media organizations to address press freedom issues, including legal threats, abuse and violence. Initiatives may include network strengthening, partnership facilitation and citizen engagement in support of media independence. The APS invites novel ideas that promote adherence to press freedom rights and protections.

***Bolster capacity of media and other organizations to address disinformation*** - Funds are dedicated to upskill media practitioners and organizations in effectively debunking information disorder content and sources, and expanding their ability to use multi-platform information delivery. USAID also intends to strengthen media effectiveness in reaching and engaging youth audiences to tackle disinformation. Proponents are encouraged to explore collaborative partnerships with technology companies, innovators, academic institutions, and regulatory bodies to address the issue.

***Strengthen self-regulation*** - Assistance under this component desires to promote the professional standards of media and journalism, reinforce self-monitoring, and improve content quality. USAID has a particular interest in supporting activities to organize and collaborate with the community of social media influencers in improving governance of the digital space.

## **2. Public support for human rights increased**

Respect for human rights is vital to advancing a free, open and rules-based Indo-Pacific region; it is also a foundational element of democratic governance. Promotion of human rights in the region is exigent at this time, given the growing sentiment of human rights being sidelined in the political agenda of a number of governments.<sup>15</sup> In the Philippines, wide-ranging international and domestic reports have raised concerns about the human rights situation in the country. Concurrently, a low level of public discomfort towards abuses has been observed. A nationwide survey of college students on public issues, including human rights, found that an

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<sup>13</sup> Ibid.

<sup>14</sup> <https://newtontechfordev.com/wp-content/uploads/2018/02/ARCHITECTS-OF-NETWORKED-DISINFORMATION-FULL-REPORT.pdf>

<sup>15</sup> [https://www.hrw.org/sites/default/files/supporting\\_resources/asean\\_australia0318.pdf](https://www.hrw.org/sites/default/files/supporting_resources/asean_australia0318.pdf)

alarming 41% favored summary execution as a legitimate method of crime control, and 37% supported the idea of isolating HIV afflicted patients.<sup>16</sup>

USAID intends to support human rights programming in ways that build upon strong foundations in the Philippines. A solid legal and institutional framework, based on the 1987 Constitution, a dedicated national commission with sub-national presence and a deeply engaged community of civil society champions are among the underpinnings of the country's human rights protection system. The Philippine Supreme Court has ruled on constitutional cases on human rights and related topics. In early April this year, the high court ordered the release of thousands of police records, acting on a petition of civil society groups.<sup>17</sup>

The APS solicits innovative and tested social behavior change interventions to raise public awareness and support for civil and political rights enshrined in the Philippine Constitution. Activities are envisioned to be organized in three inter-related components:

***Build the evidence base for behavior change strategies*** - Successful social behavior change interventions are data-driven. This component will support assessments intended to capture and understand Filipino sentiments, knowledge and attitudes on human rights, which will guide the activities of the other two components. USAID also expects the potential partner to dedicate funds for testing proposed communications interventions and monitoring results for adaptive implementation.

***Implement social behavior change interventions to increase citizen engagement in support of human rights*** - USAID seeks creative and strategic approaches to raise citizen awareness and knowledge and inspire positive behaviors to reinforce respect for human rights. Applicants are asked to present their thinking on priority geographic areas, vulnerable groups and scale-up strategies.

***Enhance the capacity of communities, civil society and local champions to advocate the advancement of human rights*** - The desire of social behavior change interventions is positive action. This component will provide sub-grants, primarily to Filipino organizations, and other support for broad and inclusive coalitions to advance their human rights agenda. Applicants are highly encouraged to actively engage a diverse community of local institutions potentially including civil society, faith-based groups, academic institutions, the private sector, government bodies, and other stakeholders.

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<sup>16</sup> College Experience Survey, <https://www.feu.edu.ph/manila/index.php/feu-public-policy-center-does-gen-z-care/>

<sup>17</sup> <https://www.rappler.com/nation/227214-supreme-court-decision-release-drug-war-documents>

### 3. Political participation enhanced

Globally, while formal electoral processes have progressed, the quality of political participation and other aspects of democracy that make elections more meaningful have declined<sup>18</sup>. The same trend is observed in the Philippines: V-Dem's 2018 report places the country among electoral democracies with social inclusion scores lower than some closed autocracies.<sup>19</sup> Extant literature on the Philippines attributes the limitations of political processes to weak political parties<sup>20</sup>, clientelism<sup>21</sup> and tenuous checks on a strong executive<sup>22</sup> and a hyper-presidential system.<sup>23</sup> While civil society is vibrant, its effectiveness in advancing social changes is generally incremental,<sup>24</sup> given the obstacles to financial sustainability, effective advocacy and consensus building.<sup>25</sup> There is also concern on political apathy, especially among youth. A national survey of college students indicates low levels of self-reported involvement in political and civic activities.<sup>26</sup> Over the last few years, many observers have noted democratic backsliding<sup>27</sup> in the Philippines.<sup>28</sup>

Healthy democracies rest on political traditions and processes that enable citizens to influence decisions of the government. The United States is committed to strengthening and consolidating inclusive and accountable democracies in the Indo-Pacific to advance prosperity, rights and the pursuit of freedom, and security of partner countries from external coercion.

The APS calls for applications to expand political participation and civic engagement in the following key areas:

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<sup>18</sup> [https://www.v-dem.net/media/filer\\_public/3f/19/3f19efc9-e25f-4356-b159-b5c0ec894115/v-dem\\_democracy\\_report2018.pdf](https://www.v-dem.net/media/filer_public/3f/19/3f19efc9-e25f-4356-b159-b5c0ec894115/v-dem_democracy_report2018.pdf)

<sup>19</sup> Ibid

<sup>20</sup> Montinola, Gabriella. (1999). Parties and Accountability in the Philippines. *Journal of Democracy*. 10. 126-140. 10.1353/jod.1999.0013

<sup>21</sup> Hutchcroft, P., & Rocamora, J. (2003). /Strong Demands and Weak Institutions: The Origins and Evolution of the Democratic Deficit in the Philippines. *Journal of East Asian Studies*, 3(2), 259-292.

<sup>22</sup> <https://carnegieendowment.org/2019/01/10/philippine-politics-under-duterte-midterm-assessment-pub-78091>

<sup>23</sup> [https://digitalcommons.law.yale.edu/cgi/viewcontent.cgi?article=5170&context=fss\\_papers](https://digitalcommons.law.yale.edu/cgi/viewcontent.cgi?article=5170&context=fss_papers)

<sup>24</sup> Turner, Mark. (2011). How to win friends and influence people: Civic engagement in the Philippines. *Public Administration and Development*. 31. 10.1002/pad.596.

<sup>25</sup> [https://www.usaid.gov/sites/default/files/documents/1866/CSOSI\\_Asia\\_Regional\\_Report\\_3.pdf](https://www.usaid.gov/sites/default/files/documents/1866/CSOSI_Asia_Regional_Report_3.pdf)

<sup>26</sup> <https://www.feu.edu.ph/manila/index.php/feu-public-policy-center-does-gen-z-care/>

<sup>27</sup> For a definition of democratic backsliding see

<https://www.usaid.gov/sites/default/files/documents/2496/Theories%20of%20Democratic%20Change%20Phase%201--Democratic%20Backsliding.pdf>; and <https://www.journalofdemocracy.org/article/democratic-backsliding>

<sup>28</sup> See for example: <https://carnegieendowment.org/2019/01/10/philippine-politics-under-duterte-midterm-assessment-pub-78091>

[https://www.washingtonpost.com/news/theworldpost/wp/2018/03/20/duterte/?utm\\_term=.ddb1d8d622d4](https://www.washingtonpost.com/news/theworldpost/wp/2018/03/20/duterte/?utm_term=.ddb1d8d622d4)

<https://www.foreignaffairs.com/articles/2018-11-06/after-democracy>

<https://www.foreignaffairs.com/articles/2018-04-16/end-democratic-century>

<https://www.economist.com/international/2018/06/14/after-decades-of-triumph-democracy-is-losing-ground>

<https://www.economist.com/leaders/2018/06/16/lessons-from-the-rise-of-strongmen-in-weak-states>

<http://time.com/5264170/the-strongmen-era-is-here-heres-what-it-means-for-you/>

**Promote civic education** – USAID intends to support strategic interventions to raise citizen awareness and political participation and reinforce democratic values and traditions. The APS invites innovative proposals to stimulate discourse on public policy issues, which may include technology solutions. Funds will be set aside for partnerships with local organizations, including think tanks, the academe, and the private sector, to foster civic culture that strongly reflects democratic values. With about a third of the Filipino voting population in the youth age group,<sup>29</sup> emphasis is placed on youth engagement and promoting their political participation and leadership. Applicants are asked to describe their thinking on priority geographic areas and target population groups.

**Increase resilience of electoral process** – Building upon its prior support for Philippines elections, including technical assistance in automated elections, USAID intends to resume political process activities including voter education, citizen-led campaign finance monitoring and issue-based debates. The desire is to address threats to well-established electoral systems that may include vote-buying, foreign interference in democratic processes, political polarization, disinformation tactics, and generational change. Enhanced public participation in elections will aim to increase political competition and the range of electoral choice in the Philippines.

#### 4. Local governance bolstered

The quality of democratic governance can vary considerably within a country. A 2016 groundbreaking study found that a single type of political system may not uniformly exist throughout a country, and subnational variation is often observed in countries that are ethnically and economically diverse, populous and topographically rugged<sup>30</sup> such as the Philippines. Investments to improve subnational democracy may yield dividends, perhaps even greater than national level interventions.

The Philippines 1991 Local Government Code was designed to enable local governments to be self-reliant, able to disperse growth and development. Decades later, the performance of local governments has been variegated,<sup>31</sup> with some having more difficulty in addressing development problems than others. A number of localities even display markedly less democratic attributes.

USAID invites insightful applications to bolster local governance through the following:

**Increase transparency and accountability** – The APS requests ideas to promote democratic local governance through impactful interventions that promote meaningful interaction among government, civil society and the private sector. These can include interventions for

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<sup>29</sup> <http://www.pna.gov.ph/articles/1050625>

<sup>30</sup> [https://www.v-dem.net/media/filer\\_public/09/13/0913d3dd-5974-4e1d-b168-0986891f415e/v-dem\\_working\\_paper\\_2016\\_28.pdf](https://www.v-dem.net/media/filer_public/09/13/0913d3dd-5974-4e1d-b168-0986891f415e/v-dem_working_paper_2016_28.pdf)

<sup>31</sup> <https://www.pids.gov.ph/infocus/115>

participatory planning and budgeting and greater citizen and private sector involvement in local legislation and decision-making.

***Improve third party oversight of local procurement*** - A key concern for local governance is procurement, a nexus of economic growth and democratic governance reforms. Local government compliance with procurement regulations is generally low, skills and capacity underdeveloped and corruption risks are high.<sup>32</sup> Flawed procurement capacity at the subnational level creates opportunities for greater problems, including the inflow of potentially corrosive capital.<sup>33</sup> The APS solicits proposals to increase third party oversight of large-scale, high-risk procurement projects, including both local and national infrastructure projects that can be overseen by the communities affected.

***Support policy dialogues to advance local governance and decentralization*** – irrespective of whether the Philippines formally takes up proposals for a shift to federalism, there is a need to revisit and discuss key provisions of the 1991 Local Government Code. USAID awaits proposals to organize an inclusive, strategic process that will gather reflections on the impact of the local government law and build consensus around changes needed to enable local governments to be more self-reliant. Public dialogues must involve a diverse community of champions, representing national and local governments, a large cadre of civil society and fully engaged private sector.

In all three areas of local governance programming, USAID asks Applicants to present their thinking on prioritization, specifically the filters for targeting local governments to engage, the development issues to tackle, and the selection and mobilization of non-government partners.

The Initiatives for Democracy APS may also be utilized to address other emerging challenges that affect democracy, human rights and governance in the Philippines.

### **USAID activities and mechanisms in place**

The USAID/Philippines Economic Development and Governance portfolio is implemented through support for technical assistance, training, and grants. The following new activities have been awarded since August 2018:

- Access to Justice and Support to Rule of Law in the Philippines, implemented by Freedom House in partnership with the American Bar Association Rule of Law Initiative. This activity awards grants to local organizations to expand awareness and legal assistance for vulnerable communities and provides technical assistance to judicial institutions on reforms to expedite case resolution.

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<sup>32</sup> <http://documents.worldbank.org/curated/en/724191468332667301/pdf/839620PUB020120Box0382124B00PU BLICO.pdf>

<sup>33</sup> <http://www.eastbysoutheast.com/chinas-fdi-in-the-philippines-problems-and-prospects/>

- Philippines Performance Audit Partnership, implemented by the U.S. government Accountability Office (GAO) under a Participating Agency Service Agreement, to train state auditors and conduct high public interest performance audits.
- Marawi Response Project, implemented by Plan International, supports communities directly affected by the Marawi siege to recover from the displacement by improving their economic conditions and fostering cooperation among displaced and host family groups.
- Regulatory Reform Support Program for National Development (RESPOND), is expected to be awarded in April 2019. It will promote market competition through addressing barriers to entry, lower transaction costs, and the reduction of regulatory burden on business. The activity will include assistance to strengthen regulatory oversight, transparency, and accountability mechanisms, including via advocacy of multi-stakeholder coalitions.
- Delivering Effective Government for Competitiveness and Inclusive Growth (DELIVER), currently under procurement. It will advance infrastructure development by providing technical assistance to line agencies for procurement, public financial management, and domestic resource mobilization; supporting public-private partnerships; and facilitating inter-agency coordination. Other focal areas include advancing the competitiveness of small and medium-size enterprises by strengthening value chains, enhancing access to finance, and promoting trade facilitation.

#### **A.4 GEOGRAPHIC AND TARGET POPULATION**

In general, activities to be awarded under this APS will be implemented nationwide, unless as otherwise indicated above and in the separate Addendums.

#### **A.5 GUIDING PRINCIPLES**

Applicants are requested to incorporate these guiding principles in their proposals:

**Gender** - Consistent with USAID's Gender Equality and Female Empowerment Policy<sup>34</sup> and related guidance, as well as the Women's Entrepreneurship and Economic Empowerment Act of 2018,<sup>35</sup> USAID expects that proposed activities will be sensitive to gender dynamics. Applicants are asked to explore opportunities to advance gender equality and female empowerment in designing new approaches. This includes pursuing an inclusive approach to foster equality, building partnerships across a wide range of stakeholders, harnessing science, technology, and innovation to reduce gender gaps and empower women and girls, and addressing unique challenges that affect women and men differently.

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<sup>34</sup> [https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy\\_0.pdf](https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf); see also ADS 205.

<sup>35</sup> <https://www.congress.gov/bill/115th-congress/senate-bill/3247/text>

***Innovation, adaptation and evidence-based implementation*** - USAID intends to support activities that utilize data and evidence to inform and carry out interventions with the greatest chance of success. Collecting, measuring and using data and evidence will be important for developing policies and interventions. USAID strongly encourages potential partners to use collaborating, learning, and adapting approaches.<sup>36</sup>

***Capacity-building*** - USAID supports approaches that strengthen Filipino organizations, including but not limited to national institutions, local government units, and civil society and private sector organizations. The desire is to empower partner local organizations through transfer of knowledge, skills enhancement and systems strengthening. Capacity building can incorporate analysis of how an organization fits into its ecosystem, build capabilities to respond, and incorporate flexibility into the organization's structure to address challenges and maximize opportunities.

***Partnering with local organizations and non-traditional partners*** - USAID-supported activities are expected to establish partnerships to expand the reach of civil society, private sector organizations, and to better promote collaboration between state and non-state actors in democratic governance. Partners may include local communities, schools and academic institutions, public and private actors, professional societies as well as faith-based, non-governmental, and civil society organizations. USAID seeks to expand partnerships with non-traditional organizations, including private sector entities and others that have not typically received USAID contract or grant funds in the past.

***Sustainability and self-reliance*** - USAID seeks to advance the ability of a country, working across sectors, including government, civil society, citizens, and economic actors, to solve its own development challenges. USAID assistance is oriented to support a country's own transition towards self-reliance, as reflected in the relative capacities and commitment of key actors and institutions.<sup>37</sup> In parallel, USAID aims to reinforce the sustainability of political processes, organizations and institutions, networks and capacities supported under this APS.

***Private sector engagement*** - Consistent with USAID's Private Sector Engagement Policy,<sup>38</sup> USAID expects implementing partners to engage and build relationships with private-sector partners. This may include due diligence to bring in commercial partners that offer unique value. The desire is to explore different forms of private sector engagement, including non-financial collaboration; expand and pilot private sector approaches for greater impact; and share experiences to enhance learning in private sector engagement.

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<sup>36</sup> <https://usaidlearninglab.org/qrg/understanding-cla-0>

<sup>37</sup> <https://www.usaid.gov/selfreliance/>

<sup>38</sup> <https://www.usaid.gov/work-usaid/private-sector-engagement/policy>

***Resilience and conflict-sensitive assistance*** - Consistent with USAID’s Resilience policy and related guidance,<sup>39</sup> USAID expects that democracy, human rights, and governance programming under the Initiatives for Democracy APS will strengthen resilience outcomes. Functioning institutions of good governance and democratic accountability are essential to developing a country’s adaptive capacity and its ability to address and reduce risk. Good governance requires institutions and processes that are transparent, accountable, and responsive to the people they serve and that promote positive state-society relationships including a strong civil society and a vibrant private sector. Governance capacity determines the ability of the state to respond effectively to crises and to address the long-term development needs required to effectively address recurrent issues. Furthermore, good governance is crucial to prevent and mitigate conflict, which plays a detrimental role in many of the communities where we are applying a resilience approach and which has, in past efforts to build resilience, stood decisively in the way of sustainable progress.

In terms of conflict-sensitivity, USAID expects implementers to identify sources of social conflict, design activities to reflect the social conflict analysis and impact of trauma on staff and beneficiaries, identify risks of implementation being affected by specific social conflict issues or contributing to tensions, develop sound strategies for minimizing these risks, and identify opportunities for reinforcing peaceful outcomes (increased dialogue or constructive collaboration between divided groups, improved coping strategies, less violence, etc.).

#### **A.6 AUTHORIZING LEGISLATION AND APPLICABLE REGULATIONS AND POLICIES**

The Foreign Assistance Act of 1961, as amended, is the authority for this APS and any resulting award from each Addendum issued under it. Applicable policies of ADS 303 and all Standard Provisions will apply to all awards made under this APS.

For U.S. organizations, 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations, are applicable.

For non-U.S. organizations, ADS 303mab, Standard Provisions for non-U.S. Non-governmental Organizations, will apply.

[END OF SECTION A]

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<sup>39</sup> <https://www.usaid.gov/resilience>

## **SECTION B: FEDERAL AWARD INFORMATION**

### **B.1 Estimate of Funds Available and Number of Awards Contemplated**

Subject to the availability of funds, USAID intends to make at least four (4) awards as a result of the separately-issued Addendums to this APS. The range of dollar values for each award will be indicated in each Addendum.

USAID reserves the right to fund any or none of the applications developed under each Addendum.

USAID likewise reserves the right to fund activities incrementally over the duration of said awards, if necessary, depending on the availability of funds, the level of performance against approved indicators, and their continued relevance to USAID programs.

### **B.2 Anticipated Start Date and Period of Performance for Federal Awards**

Awards under the Addendums to this APS will be for a maximum period of sixty (60) months. Because award selection will be made on a rolling basis depending on the specific Addendum, start dates will vary per award.

### **B.3 Types of Awards**

Under an APS, the resultant award is an assistance instrument, either a grant or a cooperative agreement, whose principal purpose is for USAID to transfer funds to the recipient in order to accomplish a public purpose of support or stimulation. Under this APS, USAID will support the broad goals and objectives stated in Section A, and the specific goals and objectives stated in each separately-issued Addendum.

USAID intends to award one (1) cooperative agreement per Addendum.

### **B.4 Nature of the Relationship between USAID and the Recipient**

Under each Addendum, the successful recipient will be responsible for ensuring the achievement of activity objectives as well as the efficient and effective administration of the award through the application of sound management practices. The recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. The recipient has the primary responsibility for employing its own unique combination of staff, facilities, and experience, as well as necessary organizational and management techniques in order to assure proper and efficient administration of the resulting award.

## **B.5 Selection of Instrument**

In support of the priorities of the 2017-2022 Philippine Development Plan and the Philippines' long term vision – *Ambisyon Natin 2040*, and in line with the U.S. government's Indo-Pacific vision and the Asia Reassurance Initiative Act, USAID aims to enhance democratic governance in the country in order to promote economic and democratic inclusion and advance social stability. USAID's design work is informed by market research based on recent publications, publicly available information and key informant interviews. This market research confirms the continued presence of strong civil society organizations and other non-government institutions which have clear democratic governance-related mandates and objectives and the capacity to implement additional programs in their respective sectors. Given these considerations, it would be best for USAID to support organizations that will carry out their own projects for their intended beneficiaries. Some USAID guidance and direction would be needed to ensure that USAID support is implemented in accordance with funding priorities and that they achieve expected results.

## **B.6 Substantial Involvement**

In a cooperative agreement, USAID will remain substantially involved over the life of the award, to assist the recipient in achieving the expected outcomes and results of the program. Substantial involvement under the proposed award may include the following:

- a. Approval of the recipient's implementation plan. Annual implementation plans with supporting budgets, and subsequent revisions thereto, are subject to prior written approval by USAID's Agreement Officer's Representative (AOR) before any substantive work for each year of the award is executed.
- b. Approval of key personnel. The key positions will be identified in each Addendum. These personnel are subject to prior written approval by the Agreement Officer (AO).
- c. USAID and recipient collaboration or joint participation. The recipient's successful accomplishment of program objectives will benefit from USAID's technical knowledge. Thus, the AO authorizes the collaboration or joint participation of USAID and the recipient on the program. Areas for collaboration may include but are not limited to:
  - 1) Geographic targeting. Prior written USAID AOR concurrence is required on final decisions concerning the geographic targeting of Initiatives for Democracy activities.
  - 2) Approval of the recipient's Activity Monitoring, Evaluation and Learning Plan (AMELP). In consultation with USAID through the AOR, the recipient will develop the AMELP which will align with the monitoring and reporting framework, and other relevant reporting mechanisms required by USAID/Philippines. During the first

ninety (90) from award date, the recipient will work closely with the AOR to establish major milestones, program monitoring indicators, as well as baseline data and performance targets which will demonstrate successful achievement of the results expected from this activity.

- 3) Monitoring the activity. USAID will monitor activities to ensure they are supporting Mission purpose, to share best practices and capture lessons learned and will authorize direction and/or redirection of interventions specified in the Program Description due to U.S. foreign policy objectives and priorities, as well as interrelationships with other programs, including those of USAID's. Monitoring includes but will not be limited to site visits; reviewing terms of reference, quarterly and other types of reports, deliverables and other products; and participating in technical meetings, as appropriate.
  - 4) Approval of sub-awards. Per 2 CFR 200.308, all sub-awards (whether contracts<sup>40</sup> or sub-grants) not included and approved in the original cooperative agreement, will require prior written AO approval. In addition, substantive provisions of sub-awards require prior written AOR concurrence.
- d. Agency authority to immediately halt a construction activity. USAID retains the authority to immediately halt any construction that may be undertaken under this activity.

For purposes of this activity, "construction" means: construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes without limitation, improvements, renovation, alteration, and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

No new construction activities are authorized under this activity.

## **B.7 Authorized Geographic Code**

The authorized geographic code for the procurement of services and commodities under this APS is 937. Code 937 is defined as any area or country including the recipient country (Philippines), but excluding any country that is a prohibited source per USAID regulations. There are currently no prohibited source countries, but the list is updated regularly and can be found at: <http://www.usaid.gov/sites/default/files/documents/1864/310mac.pdf>.

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<sup>40</sup> Except contracts for the acquisition of supplies, materials, equipment or general support services

**B.8 Title to Property**

Under any cooperative agreement awarded under any Addendum to this APS, title to property financed by USAID will vest in the recipient, and will be subject to the USAID Standard Provision for U.S. Non-Governmental Organizations or Non-U.S. Non-Governmental Organizations, whichever is applicable.

[END OF SECTION B]

## SECTION C: ELIGIBILITY INFORMATION

### C.1 Eligible Applicants

This funding opportunity is open to all eligible U.S. and non-U.S. nongovernmental organizations (other than those from foreign policy restricted countries), including but not limited to foundations, academic organizations, media organizations or associations, for-profit private enterprises, and consortia. Individuals are not eligible to participate in this APS or in any of the Addendums.

USAID welcomes organizations that have not previously received financial assistance from USAID.

Pursuant to 2 CFR 200.400(g), it is USAID policy not to award profit under assistance instruments such as cooperative agreements. Pursuant to 2 CFR 700.13(A)(1), Prohibition against Profit, no funds will be paid as profit to any for-profit entity receiving or administering Federal financial assistance as a recipient or sub-recipient, and as such, for-profit organizations must waive profits and/or fees to be eligible to submit an application.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. government standards, laws, and regulations.

Applicants must have a valid DUNS<sup>41</sup> number to submit an application. They also must be registered and is active in SAM<sup>42</sup>, unless excepted by USAID from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by USAID under 2 CFR 25.110(d). Actual registration is not necessary during the application and review process. However, after the review, the applicant determined by the AO as the ASA under an Addendum, must have successfully registered and have an active registration in SAM before an award can be made.

Federal awarding agencies may not make an award to an applicant until it has fully complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make an award, the Federal awarding agency may determine that the applicant is not qualified to receive the award and use that determination as a basis for making giving the award to another applicant.

The SAM registration process may take many weeks to complete. Therefore applicants are encouraged to begin the process early.

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<sup>41</sup> DUNS numbers can be obtained free of charge from <http://fedgov.dnb.com/webform>.

<sup>42</sup> The U.S. government's System for Award Management (SAM) is at [www.sam.gov](http://www.sam.gov).

The Applicant, must continue to maintain an active SAM registration with recent information at all times during which it has an active Federal award or an application or plan under consideration by USAID.

For applicants who have previously registered in SAM and have not renewed: they must renew and maintain an active SAM registration during the time their applications are under consideration by USAID or any Federal awarding agency, or during an active Federal award.

## **C.2 New Partners**

### **a. Potential New Implementing Partners**

USAID encourages applications from potential new implementing partners in support of the Agency's interest in fostering a larger assistance base, diversifying the partner base, and expanding the number and sustainability of development partners.<sup>43</sup>

Note though that resultant awards to new organizations may be significantly delayed when USAID undertakes necessary pre-award reviews of these organizations to assess risk in making award to them. Non-U.S. Organization Pre-award Survey Guidelines and Support are available at <http://www.usaid.gov/sites/default/files/documents/1868/303sam.pdf>.

### **b. Pre-Award Risk Assessment**

In order for an award to be made, the AO must make a positive "risk assessment" as required in ADS 303.3.9. This means the applicant must possess or have the ability to obtain, the necessary management and technical competence to plan and carry out the proposed program. The applicant also agrees to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

In the absence of a positive risk assessment, an award cannot ordinarily be made. However, in rare cases, an award can be made with "Specific Conditions" (i.e., additional non-standard award requirements designed to minimize USAID's risk in making an award to an organization for which a positive risk assessment cannot be made), but only when it appears likely that the applicant can correct the deficiency within a reasonable period.

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<sup>43</sup> See USAID A&A Strategy at <https://www.usaid.gov/work-usaid/how-to-work-with-usaid/acquisition-and-assistance-strategy>.

### **C.3 Responsible Entity**

The ASA will be responsible for ensuring the achievement of the objectives described in each Addendum. Thus, an ASA must be a responsible entity. The AO will decide on whether to subject the ASA to a pre-award survey or not, and based on the results, will make a determination if the prospective recipient is a responsible entity, i.e., whether it has the necessary organization, experience, adequate accounting and operational controls, and technical skills—or the ability to obtain them – in order to achieve the objectives of the project and comply with the terms and conditions of the award. If a pre-award survey is necessary, the AO will establish a formal survey team to conduct the examination.

### **C.4 Cost Sharing or Matching**

Cost sharing or matching is not a requirement under this APS. However, a specific Addendum may encourage applicants to cost share.

### **C.5 Multiple Applications**

An organization may not submit more than one application as a prime or as a consortium leader under an Addendum. However, local organizations participating in one consortium may elect to participate in another consortium under the same Addendum, but under a different application and not as a prime or consortium leader.

[END OF SECTION C]

## SECTION D: APPLICATION AND SUBMISSION INFORMATION FOR ADDENDUMS ISSUED UNDER THIS APS

### D.1 General Instructions

Applicants are expected to review, understand and comply with all aspects of this APS and its amendments (if any), and the separately issued Addendums and their amendments (if any), before submitting the required documents. Applicants must ensure that the necessary documents are complete and are received by USAID on time, specifically Manila time or Philippine Standard Time. All submissions received by the stated deadlines in the Addendums will be reviewed for completeness and in accordance with the review criteria contained in Section E of this APS. Late and/or incomplete submissions may result in the submission being considered non-responsive and will not be reviewed.

Submissions must be in electronic format. The cover page of the application, as well as required certifications, must bear the names and signatures of the Applicant's authorized representatives

For electronic submissions to be considered timely, it must be sent to [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov), copy furnish [mdela@usaid.gov](mailto:mdela@usaid.gov), and received by the USAID/Philippines internet server no later than the date and time indicated on the cover sheet of the specific Addendum.

USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or instructions are unclear. No additions or modifications will be accepted after the submission date. In the event of system problems or technical difficulties, the above stated agency point of contact must be notified immediately. Hard copies, telegraphic or faxed concept papers will not be accepted. Applicants are reminded that email is not instantaneous, and in some cases, delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. After submitting the concept paper, the applicants should immediately check their own email to confirm that the application and attachments were indeed transmitted. If an applicant discovers an error in transmission, send the material again and note in the subject line of the email or indicate in the file name that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please state that it is a "corrected" email.

USAID is not responsible for any costs incurred by the applicant in submitting an application as well as other costs that may be incurred prior and leading to an actual award. While for-profit organizations as well as non-profit organizations are permitted to apply, potential applicants should note that USAID policy prohibits the payment of fee or profit to for-profit organizations under assistance instruments, and that foregone profit does not qualify as cost sharing (if cost sharing is required).

## **D.2 Review Process**

Under this APS, each separately-issued Addendum will generally follow a two (2) phased review process— submission of a concept paper, and submission of a full application.

Note – If deemed appropriate, USAID Philippines may incorporate additional review steps including but not limited to Oral Presentations and Codevelopment workshops. These additional steps will be detailed in each addendum as necessary.

### **a. Phase 1 - Concept Paper**

The concept paper is intended to capture the Applicant’s understanding of the problem set, its proposed strategy and interventions to address the democracy and governance problems described in each Addendum, its organizational capability and expertise to design and implement the proposed interventions, its proposed results framework that will illustrate how activities lead to USAID’s desired results, and, in the notional budget, the total cost allocation for proposed components and major budget line items (presented in the format of the SF424 budget). The concept note is expected to be presented concisely. Applicants are to submit only the information required for concept papers.

Concept papers must be written from a pithy viewpoint that convincingly shows innovations and approaches proposed by the applicant and its partners/sub-awardees (if there are any). The concept paper should lay out how the applicant and its partners/sub-awardees are uniquely capable of supporting the democracy and governance interventions being proposed. USAID strongly encourages each applicant and its partners/sub-awardees to be thoroughly involved in the development of the concept paper and be fully in agreement with the proposed technical approach and management structure.

Applicants must note that the Evaluation Factors stated in Section E of this APS serve as the standard against which all concept papers submitted for each Addendum, will be evaluated, and serve to identify the significant matters, which applicants must address in their concept papers. Each concept paper will be reviewed for merit by USAID in accordance with these merit review criteria. Applicants with successful concept papers will be invited to Phase 2 – Full Application.

Applicants must demonstrate clear capacity and experience to accomplish the range of technical interventions described in the different Addendums’ program descriptions. Applicants should describe their institutional capacity, their ability to gather the resources and expertise necessary to implement their application, and to be able to sustain their efforts for the duration of the resulting cooperative agreement.

In addition, as demonstrated by USAID’ Local Sustainability objectives, involving a wide array of local partners—private, non-profit, and public—is a key Agency priority. Whenever possible, the proposed activity should bring new development actors into partnership with USAID and/or

expand USAID's engagement with social entrepreneurs, foundations, business, diaspora and communities. The partners should demonstrate a strong commitment to addressing development challenges, experience partnering with others, and where applicable, a proven track record in their respective areas of expertise. Applicants are expected to demonstrate how they will successfully engage other partners in their proposed activities, such as through building sustained private sector or civil society organizations collaborations.

Concept papers will be reviewed based on the Evaluation Criteria provided in Section E.2.a(1). Applicants with successful concept papers will be invited to submit full applications for Phase 2.

In the event USAID determines that none of the concept papers received are acceptable, USAID may issue an amendment to the Addendum to seek a second round of interested applicants.

#### **b. Phase 2 – Full Application**

Applicants who submitted successful concept papers will be eligible to participate in the second phase. The AO, by way of a formal letter, will notify eligible applicants to submit full applications.

In the second phase, applicants will present the details of technical and cost aspects of the objectives, strategy and activities/interventions proposed in their concept notes.

The full application will include a more in-depth discussion of the problem set and the priority democracy and governance challenges that the Applicant will attempt to address, the local context that will influence project implementation, the alignment of the theory of change with the desired results of the addendum, and proposed activities/interventions for each objective. The full application will present the organizational capability and relevant experience of the Applicant and its sub-recipients and other partners, as well as its management structure including key personnel and critical staff – which if taken together will demonstrate the Applicant's ability to successfully execute its technical proposal. USAID also expects dedicated discussions on understanding and addressing gender constraints to achieving project objectives; approaches to ensure local engagement/ownership and sustainability; and the Applicant's plan and mechanisms for monitoring, evaluation and learning.

Full application will be reviewed based on the Evaluation Criteria provided in **E.2.a(2)**.

Based on the results of the review, the AO will determine the ASA who will be invited to submit a revised full application on the comments and questions noted during the review. The revised full application will be reviewed using the same Evaluation Criteria provided in Section E.2.a(2)

For interested applicants' information, below is an indicative timeline for the overall review and award process under each Addendum.

<b>Step</b>	<b>No. of week/s</b>
APS Addendum posted	1
Receive questions re: Addendum	3
Respond to Addendum questions	4
Receive Concept Papers	6
Review Concept Papers	7-8
Determine highest rated Concept Papers; notify highest rated applicants and request full applications. Notify unsuccessful applicants.	9
Receive Full Applications	10
Review Full Applications	11-12
Determine ASA; request for revised application. Notify unsuccessful applicants.	13
Receive ASA's revised application	14
Review revised application including cost realism	15
Conduct pre-award survey, if applicable	16-19
Draft award document	20
Sign the award; obligate funds	21
<b>Total estimated time from Addendum posting to award</b>	<b>21 weeks or 5.25 months</b>

### **D.3 Content and Form of Submissions**

#### **a. Phase 1 - Concept Paper**

Applicants will submit concept papers according to the concept paper submission requirements below.

Applicants must format their concept papers as follows:

- Spacing – single space;
- Font – Times Roman, 12 points;
- Margins – one-inch margins on all sides; left justified; with headers and footers on each page that includes consecutive page numbers, applicant's name and date of submission;
- Paper size – Letter, 8-1/2 inches by 11 inches; and
- Any graphs, charts, exhibits, tables, etc., contained in the body of the concept paper should be numbered and included in the stated page limits. Applicants may use smaller size fonts for graphics, charts, exhibits and tables.

Concept papers should be no more than ten (10) pages, exclusive of cover page, table of contents and annexes. Electronic submission of concept papers must be in Microsoft Word or PDF file formats. They must be presented taking into account the technical evaluation criteria found in Section E.

Concept papers must have all the elements below and organized according to the following flow:

(1) **Cover Page** – one (1) page, not included in the page count must contain:

- APS number
- Addendum number
- Applicant name
- Project title
- Total USAID funds requested
- Proposed period of performance
- Full address and telephone number of the Applicant-organization(primary or lead applicant)
- Contact person's full name and signature, title/position, email address, phone numbers
- Proposed sub-awardees/partners, segregated as local and international
- List of components that organizes activities/interventions for the specified objectives in the Addendum
- Name and Signature of Individuals authorized to negotiate terms, conditions and countersigns the award; Title/Position, Email address, telephone number
- DUNS and Letter of Credit (LOC) number, if applicable.

(2) **Technical Approach**

- Problem set – Discussion of the key challenges in the specific democracy and governance area described in the Addendum
- Proposed Strategy and Theory of Change – Description of the applicant's overall plan of action and approach to addressing problems including the constraints to achieving USAID's desired objectives described in the Addendum and the high level goals articulated in this APS. This section also presents the applicant's theory of change.<sup>44</sup> The strategy must include a specific discussion on its approach for ensuring inclusion, including gender and female empowerment considerations, sustainability, and engagement of local organizations and actors both in and outside the government.
- Activities – Annotated list of proposed activities/interventions in support of USAID objectives and the applicant's theory of change. Activities are expected to be organized by component that support specific or a combination of objectives set forth in the Addendum. Applicants are to indicate their proposed allocation of the

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<sup>44</sup> For references on the theories of change, see <https://usaidlearninglab.org/library/theories-change> and <https://www.usaid.gov/sites/default/files/documents/2496/Theories%20of%20Democratice%20Change%2Phase%2001--Democratic%20Backsliding.pdf>

total project budget by component. USAID envisions each Addendum to have core integrated objectives or components to be successful. If an Applicant strongly believes that achieving the desired results of an Addendum will require more or less objectives/components, the idea can be presented in the concept paper with a compelling rationale.

- Target beneficiaries/constituents – Articulation of the intended or priority beneficiaries, constituencies and stakeholders of the applicant’s proposed activities. If relevant, this section should highlight any proposed geographic focus of the project.
- Proposed results framework – A graphic representation of the applicant’s strategy on how proposed interventions will lead to desired results. The graphs must include a short explanation on the cause and effect logic of the framework and outcome indicators.<sup>45</sup> A one (1) page graphic representation of results framework can be submitted as an Annex and will be excluded from the 10-page limit of the concept paper.

### **(3) Organizational Capability**

- Organization – Description of the applicant organization, highlighting its overall purpose, goals, annual budget and main sources of funding. If applicable, a description of major sub-recipient/partner organizations, if there are any, which are proposed to receive at least 10% of total USAID funds requested to help the applicant in implementing the proposed program. Discussion should include rationale for selecting these sub-recipients/partners.
- Management plan – Discussion of the overall project management structure for implementing the program, including program office location/s and key personnel candidates.
- Relevant experience –Applicant’s summary of past experience in designing and implementing similar/relevant project/activities in democracy and governance areas described in the Addendum. Applicants are asked to indicate past experience in working in the Philippines or comparable environments.
- Notional budget -- Summary of cost allocation by major line item (see discussion under full application) and a brief rationale for the applicant’s proposed cost structure.

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<sup>45</sup> See this guide on building a results framework:  
[https://www.k4health.org/sites/default/files/migrated\\_toolkit\\_files/pnadw113.pdf](https://www.k4health.org/sites/default/files/migrated_toolkit_files/pnadw113.pdf)

**b. Phase 2 - Full Application (consists of technical and cost)**

**(1) Technical Application**

The Technical Application, to be considered complete, should contain and be organized as follows:

- a) Cover Page – 1 page, not included in the page count and must contain the following information —
  - APS number
  - Addendum number
  - Applicant name
  - Project title
  - Total USAID funds requested
  - Proposed period of performance
  - Full address and telephone number of the Applicant-organization (primary or lead applicant)
  - Contact person's name and signature, title/position, email address, phone numbers
  - List of major sub-awardees/partners proposed to receive at least 10% of total USAID funds requested; segregated as local and international sub-awardees/partners (when applicable)
  - Contact Person's Name and Signature, Title/Position, Email address, phone numbers OR
  - Name and Signature of Individuals authorized to negotiate terms, conditions and countersigns the award; Title/Position, Email address, telephone number
  - DUNS number of applicant and sub-recipients; SAM numbers of applicant and sub-recipients. TIN and Letter of Credit (LOC) number, if available, of applicant.
- b) Table of Contents – must follow the format outlined here.
- c) Executive Summary – Provide a high-level overview of the key elements of the technical application.
- d) Technical Narrative
  - (1) Problem set – Amplified discussion of the challenges in the specific democracy and governance area described in each addendum, description of the local political context, summary of evidence and lessons that bolsters the applicant's

understanding of the problem. The problem discussion must include a political economy<sup>46</sup> discussion of the reform area described in the Addendum.

- (2) Proposed strategy and theory of change – Fuller description of the applicant’s overall plan of action and approach to addressing problems and constraints to achieving USAID’s desired objectives described in the addendum and high level goals articulated in this APS. This section also explains the applicant’s theory of change.
- (3) Implementation principles – Discuss the approach and techniques in advancing the Guiding Principles described in Section A.5.
- (4) Activities – Amplified discussion of activities/interventions in support of USAID objectives and the applicant’s theory of change. Activities are expected to be organized by components, supporting specific or a combination of objectives set forth in the Addendum. Applicants are to indicate and explain their proposed allocation of the total project budget by component. The activity discussion must include proposed Year 1 activities including a quick start-up plan, to be submitted as attachment. Applicants are also asked to submit a 1-page Gantt chart of activities, to be submitted as an attachment, which will illustrate the staging of project implementation and sequencing of activities across the project’s period of performance.
- (5) Target beneficiaries/constituents – Fuller discussion of the intended or priority beneficiaries, constituencies and stakeholders of the applicant’s proposed activities. If relevant, this section should explain the proposed geographic focus of the project.
- (6) Results framework and monitoring, evaluation and learning plan – Explain the hierarchy of results that the applicant proposes to achieve, in line with its theory of change—linking activities/interventions to objectives. This section must include objectives that are specific, measurable, attainable, results-focused and can be achieved in a reasonable timeframe (SMART). For adaptive management, establishing implementation decision points/milestones will be necessary during the life of the activity. Applicants are to present their M&E plan using the USAID template<sup>47</sup> and submitted as an attachment.

e) Organizational Capability

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<sup>46</sup> <https://www.usaid.gov/documents/1866/thinking-and-working-politically-through-applied-political-economy-analysis>

<sup>47</sup> [https://2012-2017.usaid.gov/sites/default/files/documents/1861/ME\\_Plan\\_Template\\_USAID-Vietnam.docx](https://2012-2017.usaid.gov/sites/default/files/documents/1861/ME_Plan_Template_USAID-Vietnam.docx)

- (1) Organization – Fuller description of the Applicant’s organization, highlighting its overall purpose and goals that are relevant to the addendum. This section will include annual budget, main sources of funding, and an overview of the organizational structure.
- (2) Sub-recipients and partners – if applicable, description of all proposed sub-recipients, including a summary of their roles and responsibilities in implementing the Applicant’s proposed project. This section will also describe proposed partners or consortia which will support the achievement of project goals.
- (3) Key personnel – Each addendum will specify the positions and qualifications of a maximum of five key personnel. For each candidate, the Applicant will describe how proposed key personnel match the requirements of the positions. USAID reserves the right to discuss and, in consultation with the Applicant, change or add key personnel positions. Two-page resumes of proposed key personnel will be submitted as an attachment.
- (4) Management plan – A graphic illustration of the Applicant’s project management structure (organizational chart), including home office staff if relevant, to be accompanied by a discussion of the overall management plan and effective and adaptive approach to operating in the Philippines. This section will include office location/s in the Philippines dedicated to implementing the proposed activities.
- (5) Past experience – Summary of Applicant’s experience with comparable size, technical nature and complexity of the project envisioned in the addendum. Description of the Applicant’s past experience in operating in an environment similar to the Philippines. Applications must include 2-page summary of relevant projects implemented that involved activities/interventions comparable to those proposed in response to the addendum. The summary must include the following information:
  - Name of awarding organization or agency
  - Address of awarding organization or agency
  - Place of performance of services or project
  - Award or project number
  - Amount of award or project
  - Period of performance of the award or project
  - Name, current telephone number, current fax number and e-mail address (if one is available) of a responsible technical representative of the funding organization or agency
  - Brief description of the program, including major performance results.

## (2) Cost application

The cost or business application shall be submitted separately from the technical application. While there is no page limit for the full cost application, applicants are enjoined to be as concise as possible while still providing the necessary details.

In order to be considered complete, the cost application package should have the following:

- Cover page;
- SF 424 forms (links provided below), completed and signed;
- Required certifications;
- Budget and budget narrative;
- Evidence of responsibility;
- Supporting documents; and
- Branding Strategy and Marking Plan (required only from the ASA).

The proposed budget must cover the entire period of performance, using the budget format shown in the SF-424A. The budget should be expressed in U.S. dollars using an exchange rate of \$1 = P51.

Requirements for the preparation of the cost application:

a) Cover Page - The cover page should contain the following information:

- APS number
- Addendum number
- Applicant name
- Project title
- Total USAID funds requested
- Proposed period of performance
- Full name address and telephone number of the Applicant-organization (primary or lead applicant)
- Contact person's full name and signature, title/position, email address, phone numbers
- Proposed sub-awardees/partners, segregated as local and international
- List of components that organizes activities/interventions for the specified objectives in the Addendum
- Name and Signature of Individuals authorized to negotiate terms, conditions and countersigns the award; Title/Position, Email address, telephone number
- DUNS and Letter of Credit (LOC) number (if applicable).

b) SF 424 Forms

The applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at [www.grants.gov](http://www.grants.gov) using the following links:

Instructions for SF-424	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html</a>
Application for Federal Assistance (SF-424)	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
Instructions for SF-424A	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html</a>
Budget Information (SF-424A)	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
Instructions for SF-424B	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html</a>
Assurances (SF-424B)	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>

Failure to accurately complete these forms could result in the rejection of the application.

c) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with their application: “Certifications, Assurances, Representations, and Other Statements of the Recipient” document found at <https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>

d) Budget and Budget Narrative

The cost application’s Budget must be submitted as one unprotected Excel file (MS Office 2000 or later version), with visible formulas and references and must be broken out by project year, including itemization of the federal amount. Files must not contain any hidden or otherwise inaccessible cells. *Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application.*

The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any

additional requirements, such as Branding and Marking and Security. The budget narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program.
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.<sup>48</sup> The budget will provide detail on all federal funding broken out by budget category for the entire implementation period of the project.
- Separate Detailed Budgets for each sub-recipient (if any), with the same details by budget category breakdown and year as with the prime applicant.

The Detailed Budget may contain the following budget categories and information, at a minimum:

- (1) **Salaries and Allowances** – Must be proposed consistent with 2 CFR 200.430<sup>49</sup> Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. For positions with proposed/named personnel, submit short Curricula Vitae of no more than two pages each, and salary histories. (Applicants may use AID 1420-17, Contractor Employee Biographical Data Sheet to present salary history<sup>50</sup>). Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.

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<sup>48</sup> <https://www.govinfo.gov/content/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1-part200.pdf>

<sup>49</sup> <https://www.govinfo.gov/content/pkg/CFR-2018-title2-vol1/pdf/CFR-2018-title2-vol1-sec200-430.pdf>

<sup>50</sup> The form can be found at [https://www.usaid.gov/sites/default/files/documents/1868/AID\\_1420-17\\_LATEST\\_March2019.pdf](https://www.usaid.gov/sites/default/files/documents/1868/AID_1420-17_LATEST_March2019.pdf).

- (2) **Fringe Benefits** – (if applicable) If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries. If applicant proposes for fringe benefits that are not based on a percentage (i.e., flat rates), the applicant must provide basis for these rates.
- (3) **Travel and Transportation** – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant’s normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative. Note that foreign government delegations to international conferences will not be funded under this APS. See Standard Provision entitled “Foreign Government Delegations to International Conferences.”
- (4) **Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property** – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.
- (5) **Sub-awards** – Specify the budget for the portion of the program to be passed through to any sub-recipients. See 2 CFR 200.330<sup>51</sup> for assistance in determining whether the sub-tier entity is a sub-recipient or contractor. The sub-recipient budgets must align with the same requirements as the prime applicant’s budget, including those related to fringe and indirect costs.

Approval of Sub-awards – The applicant must submit information for all proposed sub-awards that it wishes to have approved at the time of award. For each proposed sub-award, the applicant must provide the following:

- Name of organization

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<sup>51</sup> <https://www.govinfo.gov/content/pkg/CFR-2018-title2-vol1/pdf/CFR-2018-title2-vol1-sec200-330.pdf>

- DUNS Number
  - Confirmation that the sub-recipient does not appear on the Treasury Department’s Office of Foreign Assets Control (OFAC) list
  - Confirmation that the sub-recipient does not have active exclusions in the System for Award Management (SAM)
  - Confirmation that the sub-recipient is not listed in the United Nations Security designation list
  - Confirmation that the sub-recipient is not suspended or debarred
  - Confirmation that the applicant has completed a risk assessment of the sub-recipient, in accordance with 2 CFR 200.331(b)<sup>52</sup>
  - Any negative findings as a result of the risk assessment and the applicant’s plan for mitigation.
- (6) **Other Direct Costs** – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.
- (7) **Indirect Costs** – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see 2 CFR 200.414.<sup>53</sup>

Applicants with a Negotiated Indirect Cost Rate Agreement (NICRA) issued by a US government Agency must use those NICRAs in their budget.

Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency’s discretion, a provisional rate may be set forth in the award, subject to audit and finalization. See USAID’s Indirect Cost Rate Guide for Non-Profit Organizations<sup>54</sup> for further guidance.

Applicants that do not have an approved NICRA must provide additional supporting information, including financial statements and audits (for the past 3 years).

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<sup>52</sup> <https://www.govinfo.gov/content/pkg/CFR-2018-title2-vol1/pdf/CFR-2018-title2-vol1-sec200-331.pdf>

<sup>53</sup> <https://www.govinfo.gov/content/pkg/CFR-2018-title2-vol1/pdf/CFR-2018-title2-vol1-sec200-414.pdf>

<sup>54</sup> <https://www.usaid.gov/work-usaid/resources-for-partners/indirect-cost-rate-guide-non-profit-organizations>

- (8) **Prior Approvals in accordance with 2 CFR 200.407<sup>55</sup>** - Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

e) Evidence of Responsibility

Applicants shall submit any additional evidence of responsibility deemed necessary for the Agreement Officer to determine applicants' responsibility as well as to assess USAID's risk should an award be made to said applicants. The information to be submitted shall substantiate that the applicant:

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

f) Supporting Documents

Applicants who have never received a grant, cooperative agreement or contract from the U.S. government are required to submit a copy of the following:

- (1) Personnel policies;
- (2) Accounting manual; and
- (3) Other information to support proposed costs.

g) Branding Strategy and Marking Plan

In accordance with ADS 303.3.6.2.f and 2 CFR 700.16<sup>56</sup>, the ASA will be asked to submit a Branding Strategy and Marking Plan for evaluation and approval by the

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<sup>55</sup> <https://www.govinfo.gov/content/pkg/CFR-2018-title2-vol1/pdf/CFR-2018-title2-vol1-sec200-407.pdf>

<sup>56</sup> <https://www.ecfr.gov/cgi-bin/text-idx?SID=531ffcc47b660d86ca8bbc5a64eed128&mc=true&node=pt2.1.700&rgn=div5>

Agreement Officer before an award under this APS will be made. “Marking Plan” and “Marking of USAID-funded Assistance Awards” are contained in 2 CFR 700.16. Applicants should be prepared to plan and budget for fully marking and branding any and all initiatives carried out as part of this activity, for example, an annual success story video, which might be displayed by USAID on its public website. Please see ADS 320<sup>57</sup> for the guidance on the Branding Strategy and Marking Plan.

Unsuccessful applications will not be returned to the Applicants.

[END OF SECTION D]

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<sup>57</sup> <https://www.usaid.gov/sites/default/files/documents/1868/320.pdf>

## SECTION E: APPLICATION REVIEW INFORMATION

### E.1 General

All applications will be reviewed in accordance with the review criteria for Phase 1 and Phase 2 as set forth below.

The criteria presented below are tailored to the requirements of the Addendums under this APS. Applicants should note that these criteria serve to:

- Identify the significant matters which Applicants should address in their applications; and
- Set the standard against which all applications will be evaluated.

To facilitate the review of applications, Applicants are requested to organize the narrative sections of their concept papers according to the application format in Section D.

The criteria listed below are presented by major categories, so that Applicants will know which areas require emphasis in the preparation of the technical application. To be selected for the award, the application must contain, at a minimum, these elements. The highest ranking that can be awarded in evaluating will depend on how well each element provided under Section D is addressed.

### E.2 Review Phases

#### a. Technical Review

There are two (2) distinct phases as described in Section D. The specific merit review criteria are as follows for each phase:

#### **(1) Phase 1 – Merit review criteria for the concept paper**

Concept papers will be reviewed against two (2) criteria: Technical Approach and Organizational Capability. Both criteria are considered to be of equal importance: all sub-factors under each criterion are likewise considered of equal importance. Concept papers will be rated as either “pass” or “fail”.

Only concept papers that meet all the criteria below will be eligible for Phase 2.

#### a) Technical Approach

- The Applicant has an astute grasp of the problem set.

- The proposed strategy is appropriate for the local context specific and the strongly responds to the requirements of the addendum and the DG APS. The theory of change is clear and feasible and demonstrably linked to the proposed activities/interventions.
  - The proposed activities/interventions will convincingly lead to the desired objectives and will address the problems in the Application.
  - The rationale for the target beneficiaries/constituents is well founded.
  - The results framework is logical and reinforces the theory of change.
- b) **Organizational Capability**
- The Applicant organization and proposed sub-recipients are highly suitable to implement activities/interventions and achieve the desired objectives. The rationale for selecting sub-recipients is compelling.
  - The management plan is highly appropriate for the proposed project.
  - Applicant has past experience relevant to the technical requirements of the addendum and local context in or comparable to the Philippines.

## **(2) Phase 2 – Merit review criteria for the full application**

Full technical applications will be reviewed based on the two (2) criteria below. Technical approach and organizational capability are of equal importance.

- a) **Technical approach** – under this criterion, sub-factor (1), proposed activities, is considered to be the most important of all the sub-factors. The remaining sub-factors are of equal importance.
- (1) The proposed activities are logically organized by components and objectives and will convincingly lead to the desired results. The activity mix visibly integrates the strategy proposed by the Applicant. The proposed budget allocation by component supports the overall strategy for achieving the desired results and the theory of change.
  - (2) The applicant demonstrates a clear understanding of the problem set and the local political context, and offers an astute appreciation of the political economy in the Philippines relevant to the Addendum.
  - (3) The proposed strategy is sound and highly suitable for addressing the problems described in the proposal and the requirements of the addendum and APS. The theory of change is logical, highly appropriate, highly feasible and demonstrably linked to the activities.
  - (4) The application strongly demonstrates adherence to all the Guiding Principles described in Section A.5, both in the design and planned strategy for implementing the activities/interventions.

- (5) The rationale for selecting target beneficiaries/constituents is sound. It supports the achievement of desired results and is aligned with the theory of change.
  - (6) The results framework is logical and reinforces the theory of change. The monitoring, evaluation and learning plan presents robust performance indicators that will capture the progress of project in meeting the desired results, and facilitate iterative adaptation. The proposed monitoring, evaluation and learning methods and approaches are appropriate for the project, in terms of scope, context and resources.
- b) **Organizational capability** – Under this criterion, the most important sub-factor is Key Personnel. The remaining sub-factors are of equal importance.
- (1) All key personnel proposed possess the qualifications specified in the Addendum. When an Addendum permits applicants to propose their own unique set of key personnel positions, the qualifications of the key personnel proposed by the Applicant must convincingly demonstrate their capacity to perform their assigned roles.
  - (2) The organization’s qualifications are highly suitable for its proposed strategy and activities/interventions and the requirements of the addendum.
  - (3) If applicable, the roles and responsibilities of the proposed sub-recipients are clearly delineated, and the rationale for their selection is highly convincing.
  - (4) The management plan has a clear, feasible, effective and adaptive approach that is highly appropriate for the context of the Philippines. The Applicant’s adaptive approach demonstrates its ability to scale up/down or otherwise adapt based on the availability of funds, data analysis, political environment, etc.
  - (5) The Applicant has demonstrated past experience in implementing project(s) with the size, technical nature and complexity comparable to the project envisioned in the addendum. The Applicant has demonstrated past experience operating in, or in an environment similar to, the Philippines. The Applicant has demonstrated ability to manage resources of the level required in the addendum and is highly likely to meet USAID’s financial and technical reporting requirements.

An Applicant’s past U.S. government experience will not be evaluated favorably or unfavorably when:

- The Applicant lacks relevant U.S. government experience history; and/or
- Information on past experience is not available.

When this occurs, an Applicant lacking relevant U.S. government experience history is assigned a “neutral” rating and will not be evaluated favorably or unfavorably on the applicable sub-factor. Prior to assigning a “neutral” past experience rating, the Agreement Officer may take into account a broad range of information related to an applicant’s past experience.

### **(3) Cost Review**

Although the cost application will not be rated, the applicant should have a structure that will allow it to provide the greatest value at a reasonable cost.

Costs will be reviewed for completeness, reasonableness, allowability and allocability. Costs will be subjected to a cost realism analysis which will verify the Applicant’s understanding of the requirements, assess cost effectiveness and the degree to which the cost application reflects the approaches in the technical solution. Cost realism analysis will also assess the degree to which the costs included in the application, accurately represents the programmatic requirements set forth in the application. USAID will also assess how the budget reflects the Applicant’s commitment to integrate the implementation principles described in Section A.

The cost application will also be reviewed to ensure that all compliance requirements have been satisfied and the AO can make an affirmative determination of responsibility.

[END OF SECTION E]

## SECTION F: AWARD AND ADMINISTRATION INFORMATION

### F.1 Federal Award Notice

- a. USAID plans to award one (1) cooperative agreement resulting from the open competition under each Addendum, to the Applicant whose application best meets the review criteria (see Section E of this APS). The Agreement Officer will only do so after making a positive responsibility determination that the successful Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

USAID reserves the right to award any or none of the application/s developed under each Addendum.

- b. The Agreement Officer can only award the cooperative agreement after funds have been appropriated, allocated, and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.
- c. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds.
- d. Following the selection for award and successful negotiations, the ASA will receive an electronic copy of the notice of the award signed by the Agreement Officer which will serve as the authorizing document. No costs chargeable to the Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

### F.2 Administrative and National Policy Requirements

The Cooperative Agreement will be administered in accordance with:

- a. USAID's Automated Directives System (ADS) Part 303, <https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>
- b. 2 CFR 200, Subpart E—Cost Principles, <https://www.govinfo.gov/content/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1-part200.pdf> , and if applicable, 48 CFR 31.2, Federal Acquisition Regulations—Cost Principles for Contracts with Commercial Organizations, and 48 CFR 731.2 USAID Acquisition Regulations—Cost Principles for Contracts with Commercial Organizations, <https://www.govinfo.gov/content/pkg/CFR-2002-title48-vol5/pdf/CFR-2002-title48-vol5-part731-subpart731-2.pdf>

### F.3 Pre-Award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the apparently successful applicant’s management and financial capabilities. If notified by USAID that a pre-award survey is necessary, the apparently successful applicant must prepare, in advance, the required information and documents.

The additional documents that may be requested are by-laws, constitution, articles of incorporation, organizational policies on travel, procurement, financial management, personnel, etc. When requested, the apparently successful applicant shall provide copies of the requested additional documents.

Please note that a pre-award survey does not commit USAID to make any award.

#### **F.4 Reporting Requirements**

The format of the activity performance reports, final annual work plan, financial reports and success stories will be determined in conjunction with USAID/Philippines. The applicant must meet all country-specific US government reporting requirements. Reports must be submitted in English.

##### **a. Program Reporting –**

Table 2: Program Reports and Schedule

<b>Report</b>	<b>Submission Date<sup>58</sup></b>
Start-up plan	Within 30 days of award date
Annual implementation plan (includes gender and environmental risk mitigation plans)	Within 45 days of award date
Activity monitoring, evaluation and learning plan (AMELP)	Within 90 days of award
Sustainability plan	Within 60 days of award
Quarterly reports (includes progress to date on sustainability, gender, and environment)	Within 30 days of the completion of a US fiscal quarter

<sup>58</sup> Refers to calendar days.

Annual reports (includes progress to date on sustainability, gender, and environment)	Within 30 days of the completion of a US fiscal year (September 30 of each year)
Close-out plan	6 months prior to agreement end date
Final report	Within 90 days of completion of agreement

**Annual implementation plan** – The Recipient is encouraged to design innovative implementation approaches to reach the desired results. The Recipient will develop annual implementation plans in concert with other key USAID/Philippines partners, and are aligned to each USG fiscal year of the agreement. Note: The ASA will be asked to prepare a draft Year 1 implementation plan to be submitted with its final revised application. This draft will be finalized with the AOR within 45 days of award.

The Year 2 implementation plan, and other subsequent implementation plans, will be prepared and submitted to the AOR no later than 45 days before the close of the current USG fiscal Year 1.

The implementation plan must include, at a minimum:

- Proposed accomplishments and expected progress towards achieving program results and performance measures tied to the AMELP;
- Timeline for implementation of the year’s proposed interventions, including target completion dates;
- Information on how interventions will be put in place;
- Gender action plan that will define how gender will be integrated in the activity cycle;
- Environmental Risk Mitigation Plan (EMMP) which will describe how environmental compliance and climate risk management will be integrated into activity interventions;
- Personnel requirements to achieve expected outcomes;
- Details of collaboration with other major partners; and
- An annual budget with estimates of projected monthly expenditures.

**Activity Monitoring, Evaluation and Learning Plan (AMELP)** –The AMELP will outline key program interventions, indicators of achievement, associated annual and life-of-activity targets, and the learning agenda. The plan will be reviewed and approved by the AOR. Note: The ASA will be required to prepare a draft Year 1 AMELP to be submitted with its final revised application. This draft will be finalized with the AOR within 90 days of award.

**Sustainability Plan** – The Recipient will submit a sustainability plan all activities within the first 60 days of the agreement. This plan should describe specific interventions that are expected to be sustained after the Cooperative Agreement ends. The sustainability plan will be updated annually and progress and updates to the implementation of the plan should be reported on

quarterly and annually as part of regular reports. Note: The ASA will be required to prepare a draft Sustainability Plan to be submitted with its final revised application. This draft will be finalized with the AOR within 60 days of award.

### ***Quarterly and Annual Progress Reports***

Quarterly Reports – The Recipient will submit to the AOR quarterly progress reports based on the USG fiscal quarters, i.e., Quarter 1 covers October – December; Quarter 2, January – March; Quarter 3, April – June, and Quarter 4, July – September. The quarterly report is due within 30 days after the end of the fiscal quarter. In lieu of the fourth quarter progress report, the Recipient will submit an Annual Report that covers the fiscal year that just ended. During the final year of implementation, the Recipient will continue to submit quarterly reports except for the fourth quarter when, instead of an Annual Report, the Recipient will be required to submit a Final Report (see below).

Annual Reports – The Recipient must submit the annual report no later than 30 days after the end of the fiscal year to cover annual performance from October – September of the fiscal year.

At a minimum, both quarterly and annual reports will contain:

- Progress made since the last report by region and province as applicable, including interventions completed and performance benchmarks achieved;
- Problems encountered and whether they were resolved or are still outstanding;
- Proposed solutions to new or ongoing problems;
- Success stories;
- Security concerns;
- Information on new opportunities for program expansion;
- Qualitative data on program achievements and results;
- An updated AMELP, if applicable, submitted as an attachment;
- Documentation of best practices that can be taken to scale;
- Progress to date on sustainability, gender and environmental risk mitigation plans;
- Update on monthly expenditures for the quarter vis-à-vis annual budget; and
- Closeout Plan – No later than one hundred eighty (180) days prior to the completion date of the agreement, the Recipient will submit a demobilization plan for Agreement Officer approval.

***Demobilization plan*** shall include:

- Draft property disposition plan;
- Plan for the phase-out of in-country operations;
- Delivery schedule for all reports or other deliverables required under the agreement; and
- Timetable for completing all required actions in the demobilization plan, including the submission date of the final property disposition plan to the Agreement Officer.

**Final Report** – At the end of the program period, the Recipient will prepare a final report for submission to the AOR that highlight accomplishments against implementation plans; gives the final status of the benchmarks and results; documents lessons learned during implementation and suggest ways to resolve constraints identified. The report will describe the achievements of the activity in light of the history of USAID programming, the legacy that USAID will leave in the democratic governance sector and the status of the operating environment.

The Final Report must contain a three-page executive summary, an index of all reports and information products produced under the agreement and a summary of the activity's finances, disaggregated at the program area and contain, at a minimum:

- Total award budget; and
- Total funds awarded by USAID.

Within ninety (90) days following the estimated completion date of this award, the Recipient will submit one (1) original and two (2) copies of the Final Report to the AOR and one (1) copy to the Agreement Officer. In addition, one (1) copy will be submitted to the Development Experience Clearinghouse:

- Electronically: <http://www.usaid.gov/results-and-data/information-resources/development-experience-clearinghouse-dec>
- By U.S. Postal Service delivery to:

U.S. Agency for International Development  
Development Experience Clearinghouse  
M/CIO/ITSD/KM  
Ronald Reagan Building, M. 01-010  
Washington, DC 20523-6100

Note: For the Quarterly, Annual and Final Reports, the following essential bibliographic information should be included on the cover page:

- Descriptive title;
- Author/s name/s;
- Award number;
- Recipient's name;
- Development Objective; and
- Date of publication or issuance date of the report.

## **b. Financial Reporting**

The Recipient will account for expenditures for interventions carried-out under this project to ensure funds are used for their intended purposes.

Quarterly Financial Reports – The Recipient shall submit quarterly financial reports to USAID no later than ten (10) days prior the end of each USG fiscal quarter. They should be disaggregated at the program area and contain, at a minimum:

- Total award budget;
- Total award funds obligated to date;
- Total funds previously reported as expended by applicant by main line items;
- Total funds expended in the current quarter by budget line items;
- Total funds expended (actual plus estimated accrued) towards the end of the report period;
- Total un-liquidated obligations by main line items;
- Unobligated balance of USAID funds;
- Estimated expenditures for remainder of year;
- Estimated expenditures for remainder of project;
- Estimated fund support per province; and
- Total obligated funds expended by main line items to date.

#### **F.5 Program Income**

Program Income, which may be generated under this award, shall be accounted for in accordance with 2 CFR 200.307.e (2). It must be used for the purposes of the project and under the conditions of this award.

#### **F.6 Foreign Government Delegation to International Conferences**

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

#### **F.7 Salary Supplements for Host Government Employees**

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

#### **F.8 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 and 2 CFR 700.16.

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.

A Branding Strategy and Marking Plan must be in accordance with USAID Branding and Marking Plan as required per ADS 320 at the following link: <https://www.usaid.gov/ads/policy/300/320>. The Apparent Successful Applicant’s proposed Branding Strategy and Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 2 CFR 700.16. 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 2 CFR 700.16. Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by the Mission Director or other USAID Principal Officers, see 2 CFR 700.16(j).

[END OF SECTION F]

**SECTION G: AGENCY CONTACTS**

The USAID/Philippines contact for this APS and all separately issued Addendums is:

Title: The Agreement Officer

Email Address: [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov)

Postal Address: The Agreement Officer  
Regional Office of Acquisition & Assistance  
USAID/Philippines  
Annex 2 Building  
U.S. Embassy  
1201 Roxas Boulevard  
Ermita, Manila 1000.

Please note that only the Agreement Officer is authorized to make commitments in behalf of USAID/Philippines.

[END OF SECTION G]