

ADDENDUM # 4

ISSUANCE DATE : **March 18, 2020**
CLOSING DATE OF QUESTIONS : **April 3, 2020 (3:00PM, Manila time)**
CLOSING DATE OF APPLICATION : **April 13, 2020 (4:00PM, Manila time)**

Reference : **Annual Program Statement (APS)**
NFO No. 72049219APS00001 Initiatives for Democracy

Subject : **Addendum #4 NFO No. 72049219APS00001-04 Political Participation for Greater Electoral Integrity**

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government, as represented by the U.S. Agency for International Development Mission in the Philippines (USAID/Philippines), invites applications from Philippine organizations¹ to carry out activities that will improve democratic governance in the Philippines through greater integrity of its electoral processes enhanced by increased political participation of the citizenry and civil society organizations.

The purpose of this Addendum is to disseminate information to prospective Applicants so they can develop and submit concept papers and potentially full applications for USAID/Philippine funding. This document describes the desired objectives and types of activities that can be considered for funding.

Interested Applicants must comply with and be fully responsive to the process and requirements for submitting concept papers and potentially full applications as detailed in the Initiatives for Democracy, Annual Program Statement (APS) 72049219APS00001, which is posted in <https://www.grants.gov/>.

USAID/Philippines anticipates awarding one (1) cooperative agreement as a result of this Addendum.

Any questions regarding this Addendum must be submitted by email to manila-roaa-rfa@usaid.gov with subject line “Questions on USAID/Philippines DG APS Addendum #4 submitted by [Organization Name]” by the deadline indicated above. Responses to questions and amendments, if any, will be posted under this Addendum in Grants.gov at <https://www.grants.gov/>.

¹ Please see Section VII of this Addendum.

I. OVERVIEW

On April 15, 2019, USAID/Philippines issued a notice of funding opportunity, the Initiatives for Democracy, Annual Program Statement (APS) number 72049219APS00001, calling for effective and innovative approaches to enhance democratic governance in the Philippines in four (4) strategic areas - media, human rights, elections and political participation, and local governance. This Addendum presents additional details on the specific objectives, scope and requirements of the strategic area of elections and political participation.

This activity intends to increase and enhance non-partisan political participation by the citizenry and civil society organizations in government-administered national and local electoral processes as an essential element of true democratic governance. It will advance political participation in elections through three inter-related components: 1) Bolstering citizen oversight of electoral processes, 2) Increased availability and accessibility of information to promote informed voting and 3) Broad support for constituencies for electoral reform.

This Addendum echoes the thinking and goal of the U.S. government's strategic vision for the Indo-Pacific region – to strengthen democratic governance as a key pillar of American partnerships in Asia, including the Philippines². This Addendum is consistent with USAID's Country Development Cooperation Strategy 2020-2024 which posits that robust participatory mechanisms enhance the quality of democratic governance; "USAID will support increased civic engagement to promote political participation, especially in elections.... Engaging civil society to strengthen the electoral process and activism for better public services will provide a check on government performance and reinforce government effectiveness in these areas."³ The prospective activities are expected to support (a) initiatives that facilitate citizen participation in electoral processes tending towards improving environments for greater government transparency, accountability and performance in the conduct of national and local elections, (b) enhanced capacity of citizens for informed vetting and selection of candidates and (c) engaged involvement in electoral processes and electoral reform. "Impartial, credible election observers play a key role in shaping perceptions about the quality and legitimacy of electoral processes."⁴

Prospective interventions under this Addendum also reflect USAID's commitment to help partner countries on their path to self-reliance, improving their ability to plan, finance and implement solutions to their own development challenges. Critical to a country's Journey to Self-Reliance⁵ is a transparent, accountable and democratic government supportive of their citizens' rights to participate in governance and which meaningfully engages an active and diverse civil society and private sector to realize inclusive development.

Accomplishing the objectives of this Addendum will likely require Applicants to engage a diverse group of partners, to include the media, academe, civil society, private and public sector

² <https://www.whitehouse.gov/briefings-statements/president-trumps-administration-advancing-free-open-indo-pacific-investments-partnerships-economics-security-governance/>

³ USAID Philippines Country Development Cooperation Strategy, 2020-2024, Development Objective #1

⁴ <https://www.cartercenter.org/peace/democracy/index.html>

⁵ https://www.usaid.gov/sites/default/files/documents/1870/J2SR_Fact_Sheet.pdf

organizations in the Philippines. USAID solicits concept papers from Filipino civil society organizations, private sector groups, academic institutions, and other non-governmental institutions. Instructions on the content, format and submission of concept papers as well as guidelines on the selection criteria and competition process are described in the Initiatives for Democracy APS (72049219APS00001).

II. BACKGROUND

The Philippines is frequently cited for its long history as a nation exercising democratic governance⁶. As a republic, its governance is premised upon representative democracy both at the national as well as multi-layered sub-national levels. This representative system extends to marginalized occupational sectors of society and encourages the full participation of other underrepresented groups such as women, PWD and the LGBTQ. National and local chief executives down to the village level are likewise determined through the popular vote. As evidence of the importance of the electoral process and the sanctity of the ballot, enshrined in the Philippine constitution is an independent constitutional commission⁷ responsible for the conduct of both national and local elections and the prosecution of disputes arising from these processes. The members of Commission on Elections (COMELEC) have fixed terms⁸ and fixed salaries⁹. Their budgets are secured through automatic appropriations thus allowing them fiscal autonomy,¹⁰ although the actual budgets still go through Congressional debate. The commissioners who lead the COMELEC may only be removed through impeachment,¹¹ placing them on a similar level with the President of the Republic and the justices of the Supreme Court in this regard.

The average voter turn-out in the Philippines based on total registrants has historically hovered between 75-78 percent.¹² This level of participation is enviable by the standards of democratic nations. Indeed, a recent national survey found respondent satisfaction with the “way democracy works” at 84%,¹³ slightly lower than the historic high of 86% in 2016. By comparison, European nation responses to the same question averaged 56% in 2018, and for Latin American countries in 2017 it was an average of 36%.¹⁴

The Philippines government’s medium-term strategic perspective sees the confluence of democratic governance and people’s participation therein as essential for progress and development. The Philippine Development Plan (PDP) for 2017-2022,¹⁵ sets *inclusive growth and a high-trust and resilient society* as a strategic medium-term goal for the country. The path to this is, among others, built upon a “citizenry fully engaged and empowered”. Ultimately,

⁶ The Philippines is the oldest democracy in Asia with national elections for the Philippine Assembly first held in 1907 under the American administration.

⁷ Article IX, The Philippine Constitution of 1987

⁸ Paragraph C, Section 1 (2), Philippine Constitution

⁹ Paragraph A, Section 3, Philippine Constitution

¹⁰ Paragraph A, Section 5, Philippine Constitution

¹¹ Article XI, Section 2, Philippine Constitution

¹² <https://th.boell.org/en/2019/06/21/2019-philippine-elections-consolidating-power-eroding-democracy>

¹³ <https://www.sws.org.ph/swsmain/artcldisppage/?artcsyscode=ART-20181004232016>

¹⁴ Ibid.

¹⁵ Part II. Enhancing the Social Fabric (*Malasakit*), Chapter 5: [Ensuring People-Centered, Clean, and Efficient Governance](#), Philippine Development Plan, 2017-2022

“(t)he cornerstone of a high-trust society is the trust in government.” Therefore a key element of the engagement and empowerment of the citizenry is people’s participation in governance. This PDP 2017-2022 framework¹⁶ may be represented as follows, focusing on key elements of this result area:



Likely instructed by the storied history of people’s participation in Philippine elections, the PDP posits that “participation in the electoral process is perhaps the most effective way for citizens to be involved in the affairs of government.”¹⁷ The government has prioritized the implementation of the following strategy components:¹⁸

Citizenry fully engaged and empowered
<ul style="list-style-type: none">● Promote participatory governance● Ensure public access to information● Institutionalize response and feedback mechanisms● Implement electoral reforms

There has been a ready response from the citizenry when it comes to citizen participation in elections. The National Citizens’ Movement for Free Elections (NAMFREL), dates its organizational founding and involvement in electoral volunteerism to 1957. It has since been accredited as a citizens’ arm in vote counting, voter’s education and varied other support and oversight functions no less than 21 times.¹⁹ The momentous 1986 “snap elections” saw NAMFREL brave the many challenges to the Philippines’ democratic experiment with fully

¹⁶ Figure 5.2 Strategic Framework to Ensure People-centered, Clean, Efficient, and Effective Governance, 2017-2022

¹⁷ Chapter 5, PDP Overall Framework, p. 73

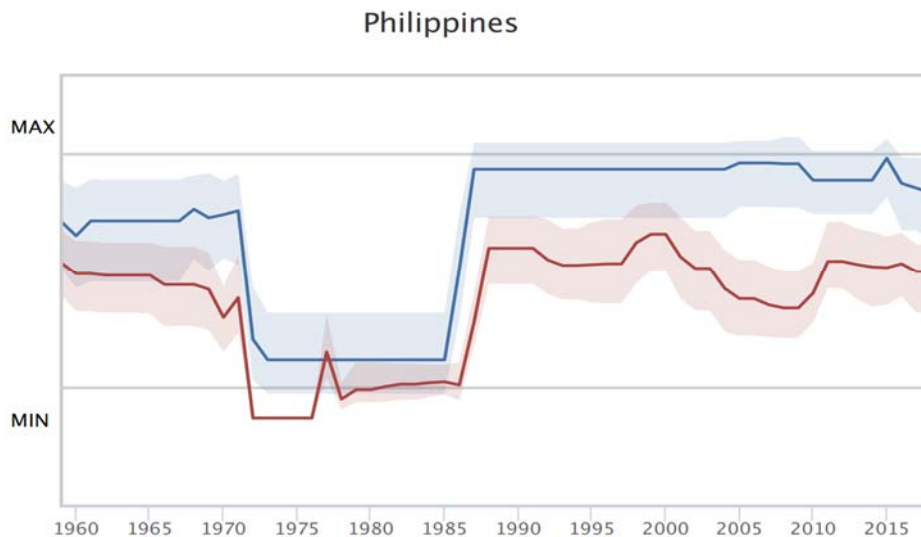
¹⁸ Chapter 5, PDP, Strategies, p. 66

¹⁹ <http://www.namfrel.com.ph/v2/aboutus/history.php>

500,000 volunteers, some giving their lives to the cause. The Catholic church-supported Parish Pastoral Council for Responsible Voting (PPCRV) was organized in 1991 with the ability to mobilize parishes from all over the country and has since been at the forefront of initiatives such as Operation Quick Count and varied other oversight engagements as another accredited citizen arm of the COMELEC.²⁰ Since 1992, PPCRV has been accredited as the official citizen of the COMELEC, providing third-party oversight and voter assistance services to nearly all of the polling centers in the Philippines. The spectrum of citizen and CSO volunteer groups organized around advancing and protecting the right to clean, honest and transparent elections include but are not limited to legal, media, and civil society organizations at the national and local levels.²¹

III. PROBLEM STATEMENT

The importance placed by this activity on citizen and particularly civil society participation in election oversight activities is supported by analysis of democracy performance based on disaggregated measures of democracy. The VDEM country graph²² on the Philippines below is generated across the variables of clean elections and CSO participation and seems to illustrate a correlation between the two indices. Despite some variance in the correlation in recent years, specifically the challenging years between 2000-2010,²³ the overall conclusion that investment in CSO and citizen engagement as a strategic step towards achieving clean elections²⁴ is well-postulated.



²⁰ <https://www.ppcrv.org/>.

²¹ See for example: <https://lenteonline.wordpress.com/about/>, <https://pcij.org/homepage>, <https://www.facebook.com/AESwatch/>, <https://www.facebook.com/bfem2018/>

²² <https://www.v-dem.net/en/analysis/CountryGraph/>

²³ This period matches closely the term of former President Gloria Macapagal-Arroyo who was President from January 20, 2001 – June 30, 2010. Her term was marked by civil society protests related to accusations of highly irregular electoral processes. See for example <https://www.nytimes.com/2005/07/09/world/asia/allies-of-philippine-president-call-on-her-to-step-down.html> and <https://www.nytimes.com/2006/03/06/world/asia/filipinos-find-it-easy-to-deride-but-not-depose-disliked-arroyo.html>

²⁴ The VDEM Clean Elections Index looks at the following factors: free and fair elections, government intimidation, electoral violence, voting irregularities, vote buying, voter registry, autonomy and capacity of the elections management body. The VDEM Civil Society Participation Index looks at CSO candidate selection, CSO consultation, CSO participatory environment and womens' participation.

In an elite-dominated political environment where political parties are weak and civil society dispersed and resource-starved, the threat of democratic backsliding, afflicting many countries around the region and globally, is a very real existential threat to the country's republican aspirations. Dynastic dominance, patronage, clientelism and voter fraud in various forms remain obstacles to free and fair elections. While there is adequate regulation on campaign finance and expenditures, campaign periods and advertisements, these are routinely violated to the disadvantage of less well-endowed candidates.²⁵ Technology has been both a bane and boon for the cause of better, faster and more transparent elections—with the efficiency and accessibility afforded by technological advancements in automated elections and information platforms come the numerous and novel ways that moneyed candidates can frustrate democratic processes and protections.²⁶ NAMFREL has been refused access to basic information such as election returns and candidate spending without explanation offered leaving it no option but to abandon its official watchdog role.²⁷ With full support from both houses of Congress, the current administration has managed to postpone Barangay (village or neighborhood) and *Sanggunian* Kabataan (youth council) elections three times, a significant departure from standard terms at these levels of government.²⁸

The advancement of democracy is reliant upon the integrity of the electoral process and elections are in turn made more credible by the effectiveness of citizen participation. As shown above, citizen's participation correlates directly with credible elections and is thus crucial for the strengthening of democratic institutions.

Election monitoring, watchdog activities and quick count operations are staples of citizen participation in Philippine elections. Philippine CSOs in the field of electoral engagement have lent their experience and expertise in elections of other nations and effectively collaborated with international monitoring groups in local exercises.²⁹ The challenge to keep up to date in approaches, strategies and technologies is ever present. Volunteer fatigue is a problem hence volunteer recruitment, management and mobilization are areas of need. Still, it is the introduction of technological innovation and sophistication where both the greatest opportunities for more effective citizen oversight and the most dangerous threats for the future of citizen engagement in elections.

Implicit in oversight engagement is lending credibility and ultimately effective support to government regulatory institutions at the center of the electoral exercise. As the COMELEC seeks to overcome significant resource and personnel capacity challenges it contends almost

²⁵ 21st-Century Challenges to Free and Fair Elections: Issues regarding technology and social media. <https://www.afsa.org/usaid-election-assistance-lessons-field>. See also for example <https://th.boell.org/en/2018/05/07/eroding-institutions-and-exploiting-resentments-populism-philippines-and-southeast-asia>

²⁶ Following the introduction of the automated election system (AES) in the 2010 national elections, a Social Weather Stations (SWS) post-election survey reported that the technology was hailed for its greater ease of use (83% of voters and 93% of poll workers surveyed) and its greater accuracy (87% of voters and 99% of poll workers surveyed) <https://www.sws.org.ph/swsmain/artcldisppage/?artcsyscode=ART-20151211133024>. But see <https://www.manilatimes.net/2019/05/22/opinion/columnists/topanalysis/2019-elections-assessment-worst/558175/> on the myriad issues related to the 2016 AES. See also Tracking Digital Disinformation in the 2019 Philippine Midterm Election, <https://www.newmandala.org/wp-content/uploads/2019/08/Digital-Disinformation-2019-Midterms.pdf>

²⁷ <https://www.rappler.com/nation/politics/elections/2019/229607-namfrel-rejects-accreditation-comelec-become-citizen-arm>

²⁸ <https://www.rappler.com/views/newsletters/241143-postponing-barangay-sk-elections-again>

²⁹ In the Name of Civil Society: From Free Election Movements to People Power in the Philippines, Eva-Lotta E. Hedman, University of Hawaii Press, p. 237 et. seq. 2006

daily with overwhelming political pressure and intervention. Impunity and systematic violation has characterized the implementation of campaign finance regulations. This is a testament both to the power of the political elite and the vulnerability and weakness of regulatory bodies.

Moreover, election processes need to be understood and approached in the context of the deeper role they play in advancing democratic outcomes and institution building beyond mere exercises for contesting and filling positions in government. There have been a number of efforts to institute electoral reforms to address weaknesses and vulnerabilities of the election process and in the electoral body. This includes a number of CSO-led Electoral Reform Summits³⁰ and government-led processes.³¹ A broad range of reform issues and recommendations has been raised in past citizen-led assessments of the structural and systemic flaws of our current institutional set up:

- Addressing power structures, the political party system, proportional representation and the effective representation of marginalized sectors and groups,
- Democratization of campaign rules and campaign finance for genuine open contestation of elections,
- Delimitation of the role of the COMELEC to the administrative responsibilities of conducting elections and the depoliticization of the selection of its commissioners,
- Institutionalization of a citizenship and participatory governance education program for the electorate.³²

While a number of reforms have been successfully accomplished,³³ there are critical reforms that remain undone. All the reform initiatives arrive at the same conclusion that to comprehensively advance the needed legal and structural reforms requires a horizon that goes beyond election cycles and a discourse free of partisan considerations or personal agenda.³⁴

IV. LINKAGE TO USAID/PHILIPPINES STRATEGIC OBJECTIVES

This Political Participation activity aligns with USAID's Indo-Pacific Vision, Governance Pillar, under the Objective of Strengthening Democratic Systems, and the IPS Transparency Initiative (IPTI). It aligns with IPTI's goal of strengthening political and electoral system integrity. The activity will support and enhance civil society's capacity for election monitoring and voter assistance, bolstered by structural interventions, to increase their effectiveness in overall electoral oversight.

Additionally, this activity seeks a reinforcement of democratic systems, through strengthened civic engagement. Voting is by itself civic engagement of the highest form. Volunteerism in elections, assistance to voter-empowerment through education and improved information on registration procedures, candidate profiles and election issues each are contributory to

³⁰ http://ateneo.edu/sites/default/files/political%20and%20electoral_final.pdf, particularly p.4 et. seq.

³¹ <https://www.rappler.com/brandrap/announcements/130475-electoral-reforms-inclusiveness-impartiality-transparency>

³² See https://www.ateneo.edu/sites/default/files/2nd%20Issue_What%20does%20Political%20Reform.pdf and <http://www.ombudsman.gov.ph/UNDP4/wp-content/uploads/2012/12/2nd-National-Electoral-Reform-Summit-Final-report.pdf> for examples.

³³ <https://www.rappler.com/brandrap/announcements/130475-electoral-reforms-inclusiveness-impartiality-transparency>

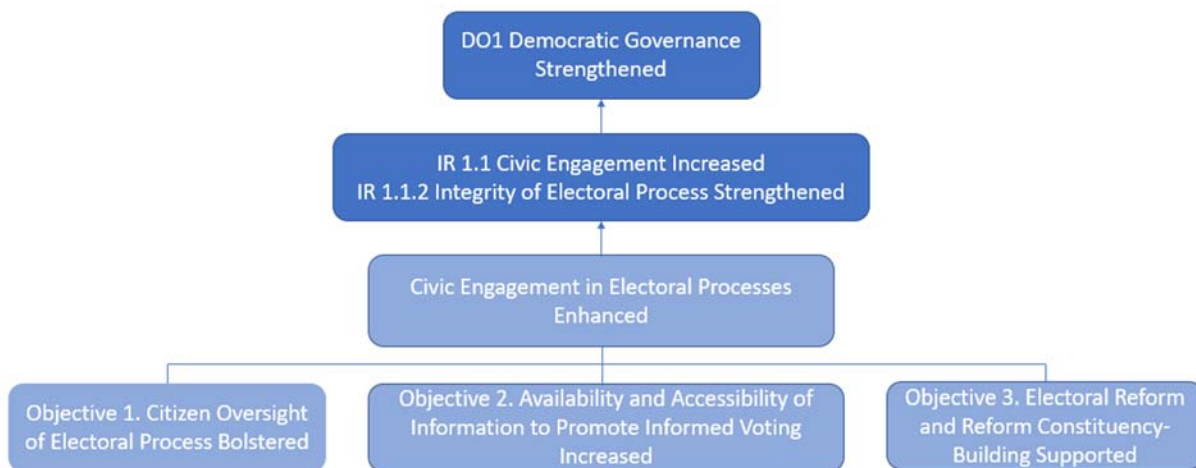
³⁴ https://www.ifes.org/sites/default/files/philippines_election_reform_project.pdf, particularly p. 19-20

strengthening electoral integrity, reinforcing democratic mandates of governing officials and concretizing citizens’ fundamental and preeminent role and stake in a democracy.

This activity’s overall outcome is further aligned with USAID Philippines' newly adopted Country Development Cooperation Strategy (CDCS), 2019-2024, Development Objective (DO) 1: Democratic Governance Strengthened.

This activity’s development hypothesis directly links to IR 1.1, Civic engagement increased. Sub-intermediate result 1.1.2 Integrity of electoral process strengthened. USAID will support strategic interventions with local partners to raise citizen awareness and enhance civil society’s capacity to participate and have a voice in the way the elections will be governed. CSO oversight of electoral exercises, as indicated above, has a direct and measurable contribution to improving the integrity and credibility of electoral processes.

The goal and objectives of this Addendum are also aligned with USAID’s strategic direction described in the Initiatives for Democracy Annual Program Statement: Enhanced democratic governance that provides economic and political inclusion and advances social stability. Results achieved under this Addendum will contribute to the intermediate result of civic engagement increased.



Political Participation in Elections Activity Framework

V. ACTIVITY DESCRIPTION

This activity invites concept papers of innovative and compelling strategies to build an architecture of electoral engagement for CSOs for the 2022 national and local elections covering the range of participatory spaces from monitoring and oversight, voter and other elections stakeholder training and preparation, information and agenda generation, management and dissemination, candidate vetting, election reform advocacy and others.

Based on the U.S. government's commitment to realize a free, open and rules-based order in the Indo-Pacific and to reinforce democratic governance in partner countries, USAID desires to increase political participation through three interrelated components. USAID encourages the use of sub-grants and partnerships.

Objective 1. Citizen oversight of electoral processes bolstered

USAID has supported CSO oversight of elections in the past, including the Philippine Election Reform Project (PERP) from 2007-2009 in the build up to the 2010 national elections³⁵. While there were many gains in engaging the electoral process in recent elections, political participation in the upcoming 2022 national elections remains fraught and many of the issues confronted in 2010, including CSO oversight accreditation, campaign finance, automation technology adoption and related concerns involving vote monitoring and election process auditing, voter registration and disenfranchisement and others have only increased in complexity. CSO election oversight will be more critical in order to ensure the credibility for the coming elections.

USAID invites Applicants to outline engagement and capacitation strategies with an eye towards the 2022 national elections, ensuring the greatest impact of the interventions while addressing the context and challenges described above. The Applicant is invited to present strategies for enhancing civil society oversight, building on the gains and lessons of previous elections and addressing the complexities of the current political environment.

Expected outcomes include:

1. Neutral third-party monitoring of electoral processes such as voter registration and election-related procurements, precinct monitoring and including media monitoring supported;
2. Capacitation interventions to prepare CSO stakeholders and networks for engagement in election processes including increasing their familiarity with a range of automated systems, as well as the vetting, selection and validation of appropriate technologies for automated or hybrid electoral systems, voting, counting and post-election auditing supported;
3. Oversight activities and broad based information and advocacy campaigns focusing on critical electoral issues such as campaign financing, the registration and oversight of political parties, including those vying for party-list seats, the role and activities of the media, including social media, during elections, and rapid manual audit proceedings to promote a more transparent and fair electoral process supported;
4. Parallel vote tabulation and/or quick count operations, including overseas voting, supported; and
5. CSO election coalition organized and coordination strengthened.

³⁵See https://www.ifes.org/sites/default/files/philippines_election_reform_project.pdf for the project report.

Objective 2: Availability and accessibility of information to promote informed voting increased

Information is the currency of electoral campaigns. In a perfect environment, access to timely and factual information can be the prime determinant of successful election outcomes. The reality is more complex today. It is essential that non-partisan pro-democracy actors are able to build an information environment conducive to ease of access to credible and comprehensive election-related information and accountable media.

This activity seeks applications towards the development of strategies and initiatives that, working with a wide range of pro-democracy constituencies around the country, address both the challenge of developing and disseminating relevant and reliable information and the need to manage and mitigate the prevalence of disinformation. It is expected that proposals will consider the importance of geographic, regional and cultural considerations, among others. Applicants must in particular, consider how to make credible information more accessible to the greater majority of citizens who are often targets of disinformation campaigns. Towards this end it will be important for the Applicant to define targeting strategies for greatest impact.

Expected outcomes include:

1. Accessible and reliable information platforms covering the full-range of election-related matters from voter registration, voting technology and procedures, campaign, candidate and policy issues and information, election monitoring updates and post-election reporting and assessment through the use of effective and appropriate information technology to reach the broadest audience, and increase real-time interaction with the public in a manner that advances election transparency, voter empowerment and a fact-based information environment developed and supported;
2. Consultations, dialogues, town halls meetings, debates, candidate fora, etc. around election issues, party and candidate platforms, party-list and candidate selection criteria and similar discussions to promote informed voting supported;
3. Information platforms and tools to popularize and simplify technological, legal and other technical election-related matters in a timely manner and with the widest dissemination strategy to support informed participation of citizens and election stakeholder groups supported;
4. Public opinion polling and focus groups discussions to, among others, provide insights regarding issues of and other matters of interest in the electoral process, supported; and
5. Specialized assistance for the first Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) parliamentary elections provided³⁶.

³⁶ The 2022 elections will represent a historic first electoral exercise for the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) since the passage of the Bangsamoro Organic Law (BOL). This will be a democratic landmark for the region and the country as a whole that will include the implementation of many novel features such as the first election of a parliament operating under a unitary-presidential government, the implementation of a proportional representation system founded upon a genuine party-based democratic system, the possibility of administering a system of funding of political parties, a

Objective 3: Electoral reform and reform constituency-building supported

This activity seeks an intervention to support non-partisan electoral reform processes, building on the many efforts in the past and contributing to these efforts by developing strategies to best organize a reform stakeholder coalition and formulate and advance and sustain reform interventions in relation to the electoral system. Essential to sustaining the reform process is the effort to institutionalize an electoral reform oversight structure of sufficient independence and stability to enable the continuing and effective pursuit of long-term and fundamental reform through appropriate vehicles and platforms. This activity seeks an integrated support for the achievement of this objective.

Expected outcomes include:

1. Planning and coordination efforts of among CSOs and other election reform stakeholder groups in media, academia, think-tanks, policy centers and the private sector in relation to the development of a reform agenda and operationalization of a process of legal, policy and structural reform advocacy in elections supported;
2. Broad-based consultation and information gathering and dissemination initiatives with local communities and organized local groups on electoral reform matters supported;
3. Establishment of a venue/s for the discussion and deliberation on key electoral reform issues between policy makers and electoral reform stakeholders in government and non-government organizations supported;
4. Institutionalizing CSO election reform oversight mechanisms through effective strategies building on past electoral reform interventions supported; and
5. Activities designed to strengthen the political participation of women, seniors, indigenous persons, PWDs, detainees, TB positive persons, LGBTIQ persons, religious minorities, linguistic minorities, and members of key sectors (i.e. farmers, laborers, fisherfolk and urban poor/informal settlers) and the advancement of their agenda in electoral processes supported.

VI. MONITORING, EVALUATION AND LEARNING (MEL)

This activity will need to be buttressed by a very robust monitoring, evaluation and learning (MEL) plan in every component. Continuous improvement and the development of a strong capacity for evidence building is essential to its success. As part of the MEL plan, Applicants are asked to present performance indicators that demonstrably support the theory of change and results framework presented herein, incorporating the Indo-Pacific vision and the Mission's CDCS. Prior to approval of the MEL plan, USAID will furnish a list of required standard

crucial process for showing genuine support for Muslim civil society participation in oversight and voter education and exemplifying inclusiveness of the process particularly for indigenous peoples (*lumads*) and women.

performance indicators and corresponding definitions, which the potential partner will track in addition to those proposed in the full application.

VII. ELIGIBILITY REQUIREMENTS

Only Philippine organizations as defined below are eligible for an award under this Addendum.

Applications must be from qualified local, non-governmental Philippine entities, such as private, nonprofit organizations (or for-profit companies willing to forego profits), including private voluntary organizations, universities, research organizations, professional associations, and relevant special interest associations.

USAID defines a local organization as one that:

- Is organized under the laws of the Philippines;
- Has its principal place of business in the Philippines;
- Is majority-owned by individuals who are citizens or lawful permanent residents of the Philippines, or is managed by a governing body, the majority of whose members are citizens or lawful permanent residents of Philippines; and
- Is not controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of Philippines.

The term “control” or “controlled by” in the above definition means having a majority ownership or beneficial interest, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law. The term “Foreign Entity” means an organization that fails to meet any part of the “local organization” definition.

USAID will not accept applications from individuals. All applicants must be legally recognized, nongovernmental organizations under applicable law. Only one application is allowed from each eligible applicant.

Applicants submitting an application must:

- Have a valid DUNS number (<http://fedgov.dnd.com/webform>) and provide this information in its application;
- Be registered in the System for Award Management (www.sam.gov); and,
- Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award, or an application, or plan under consideration by a Federal awarding agency.

USAID will not make an award to an applicant if the applicant has not fully complied with the DUNS and SAM requirements by the time it is ready to make the award.

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. The successful applicant(s) may be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer.

VIII. SUBMISSION OF REQUIREMENTS

The submission requirements for both concept papers and full applications are provided in Section D of the Initiatives for Democracy APS (72049219APS00001).

Submissions must be sent electronically to manila-roaa-rfa@usaid.gov with the appropriate subject line formatted as follows:

Phase 1 – Concept Paper: USAID/Philippines DG APS Addendum #4 [Applicant’s Name]
CONCEPT PAPER Email: 1 of xx

Phase 2 – Full Application: USAID/Philippines DG APS Addendum #4 [Applicant’s Name]
TECHNICAL APPLICATION Email: 1 of xx USAID/Philippines DG APS Addendum #4
[Applicant’s Name] COST APPLICATION Email: 1 of xx

In addition to the general submission requirements in the APS, the following instructions apply for this specific Addendum:

Sub-Grants

Proposed activities may include the provision of financial resources through sub-grants, public private partnerships or other sub-financing and/or co-financing modalities with civil society and private sector organizations, networks, academia, media outlets and associations to maximize the engagement of a broad array of local non-partisan election reform CSOs with specific areas of competence in range of important electoral issues. The formation of a consortium as an implementation modality may be explored. USAID desires the potential partner to devote a portion of sub-grant funds to Filipino organizations.³⁷

Ineligible activities

The following interventions may not be considered for funding:

- Activities that directly support political parties or candidates;
- Activities that are partisan in nature or that promote content that is partisan in nature;
- Construction activities; and
- Provision of financial support solely for a major equipment purchase or as a subsidy for ongoing business activities. Applicants are asked to describe a cogent strategy to ensure the sustainability of proposed activities, such as plans to seek sustainable financial or

³⁷ Refer to Initiatives for Democracy APS (72049219APS00001) Sections A3 and A5 for guidance.

institutional support that can ensure the viability of initiatives beyond the period of USAID funding.

Key personnel

Applicants are requested to propose candidates for the following key personnel positions:

- **Chief of party** – as the technical and management lead of the project the candidate must have a graduate degree in social sciences, public administration, public policy, or related fields and at least five years of professional experience in successfully managing political participation or electoral oversight projects of similar size or scope. Preferred qualifications are at least three years of experience in project management in the Philippines or in the Asian region with comparable contexts and successful past democracy work with civil society.
- **Election Oversight and Reform Specialist** – as the technical expert on election reform and oversight and primary adviser in the design and implementation of interventions in objectives 1 and 3, the candidate must have a degree in political science, law, public administration or related fields and at least 5 years of relevant experience in designing and managing election-related political engagement and reform advocacy. The candidate must also have at least 3 years of experience working in the Philippines or other South or South East Asian country in a development context.
- **Information Specialist** – as the technical expert/advisor in the design and implementation of interventions of objective 2, the candidate must have a relevant degree in information sciences, sociology, social psychology or related fields; and at least three years of professional experience in projects involving information and communication, information systems, information technology and similar projects in a development context. Work experience in the Philippines or comparable environments is preferred.

Geographic scope – Applicants may propose a geographic scope that maximizes impact.

Guiding principles – Applicants are requested to propose strategies and activities in a way that visibly demonstrates adherence to the guiding principles described in the APS. Applicants that will be invited to submit full applications are requested to include a discussion on Do No Harm approaches, security protocols, as well as risk mitigation and contingency plans as part of the guiding principle to advance “Resilience and conflict-sensitive assistance.”

IX. REVIEW PROCESS AND SELECTION CRITERIA FOR CONCEPT PAPERS AND FULL APPLICATION

The review process and general selection criteria as described in Section E of the Annual Program Statement (APS) NFO No. 72049219APS00001 Initiatives for Democracy, will be applied in evaluating concept papers and full applications in response to this Addendum.

**X. ESTIMATED FUNDS AVAILABLE AND NUMBER OF AWARDS
CONTEMPLATED FOR THIS ADDENDUM**

USAID/Philippines intends to provide funding for this activity in the estimated amount of \$3 million over a period of three (3) years. Actual funding amounts are subject to the availability of funds.

USAID/Philippines anticipates awarding one (1) cooperative agreement as a result of this Addendum. However, it reserves the right to fund any one or none of the applications received.

[End of Addendum #4]