



USAID
FROM THE AMERICAN PEOPLE

EL SALVADOR

ISSUANCE DATE: April 24, 2015

DEADLINE FOR RECEIPT OF QUESTIONS: May 11, 2015, at 2:00 pm, El Salvador time

PRE-APPLICATION CONFERENCE TO BE DETERMINED - El Salvador

CLOSING DATE FOR SUBMISSION OF CONCEPT PAPERS: June 15, 2015 at 2:00 pm, El Salvador time

APS CLOSING DATE: April 23, 2016

SUBJECT: USAID/EL SALVADOR ANNUAL PROGRAM STATEMENT (APS)

TITLE: El Salvador Regional and Bilateral Activities, APS No. 519-15-000001

Dear Applicants,

The United States Agency for International Development (USAID) in El Salvador would like to partner with United States and non-United States organizations to achieve common objectives. The APS invites civil society organizations, non-governmental organizations, non-profit organizations, education and research institutions, private businesses, financial institutions, chambers of commerce, industry associations, foundations, entrepreneurs, investors, philanthropists, and other private-sector organizations to identify and suggest ways we can work together to address key challenges in El Salvador and the region and that are aligned with USAID/El Salvador's bilateral and regional development objectives. This APS is issued as a public notice to ensure that all interested and qualified organizations have a fair opportunity to submit applications for funding.

The authority for the APS is found in the Foreign Assistance Act of 1961, as amended. The APS provides USAID/El Salvador a means of supporting or funding bilateral or regional activities that are developed in collaboration with eligible organizations. Under this APS we are seeking to partner with qualifying organizations in the following program areas:

Democracy

Economic Growth

Subject to availability of funds, the United States Government intends to award a maximum of 11 awards with a period of performance between 1 to 3 years under this solicitation. USAID reserves the right to fund any or none of the concept papers/applications submitted and to enter into fewer or not to enter into any awards. This APS contemplates a two-tier selection process as follows:

- a. Concept papers – due date June 15, 2015
- b. Full application – due date to be determined

Concept papers and applications evaluations will be made in accordance with the evaluation criteria provided in Section V. Subject to availability of funds, USAID intends to provide an aggregate amount of up to \$20 Million to fund all awards. Should there be a change in the expected amount of available funding; an amendment to this APS will be issued.

Interested parties are reminded that concept papers under this APS must be received on or before the indicated closing dates and time. All concept papers must be submitted electronically to: bibarra@usaid.gov. Please contact the USAID Mission at (503)2501-3336 if there are technical or other difficulties with submitting the application by e-mail.

USAID/El Salvador is planning a workshop to assist with the process of submitting the full application. The workshop is addressed to those organizations whose concept papers have been evaluated and were requested to submit a full application. Other parties that may be interested may also participate. More information on this workshop will be stated in the request for full application. Additional information sessions may be added depending on interest. Please contact bibarra@usaid.gov if you have any questions about attending this session.

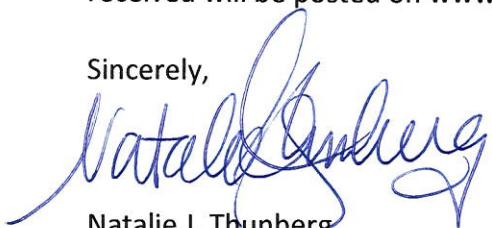
The resulting awards shall be made and administered in accordance with the following which may be found at <http://www.usaid.gov/ads/policy/300/303>:

- For US organizations in accordance with 2 CFR 700, 2 CFR 200, and the applicable Standard Provisions.
- For Non-US Non-Governmental Organizations in accordance with 2 CFR 200 the Standard Provisions for Non-US Non-Governmental Organizations.
- Federal Acquisition Regulations (FAR) Part 31 for profit organizations
- ADS 303

Please note that no profit/fee is allowed under assistance awards and foregone profit does not qualify as cost-sharing or leveraging.

Please direct any questions concerning this APS to: bibarra@usaid.gov. Answers to all questions received will be posted on www.grants.gov.

Sincerely,



Natalie J. Thunberg
Regional Agreement Officer

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SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. What is the purpose of this Annual Program Statement (APS)?

The U.S. Agency for International Development (USAID) in El Salvador hereby solicits innovative ideas from U.S. and non-U.S. organizations who demonstrate the ability to implement approaches in the program areas described below, and which are divided into the following geographic locations:

The bilateral program area covers activities which are to be implemented in El Salvador, and

The regional program areas covers activities which are to be implemented in Central America, defined as member countries of the Central American Integration System (SICA), or Belize, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and Panama. However, this geographical area may be further limited for implementation as specified in the narrative for the particular funding opportunity (see “C. Program Areas Funding Opportunities in the Regional Program Area” below.)

In the case of certain future funding opportunities solicitations may be limited to Regional or Local (i.e. Salvadoran organizations), which will be defined in the relevant amendment to this APS.

The APS will be open for 12 months and eligible organizations can submit concept papers throughout the year, however, evaluations of the concept papers will be done on a quarterly basis.

B. What kinds of arrangements can I propose to USAID?

There is a full range of partnerships; from those that are 100% funded by USAID to those in which private funds, in-kind contributions, cash, etc. may contribute to the proposed program. These contributions are normally identified as cost share contributions which is a USAID's more traditional partnership arrangement where USAID will fund a substantial portion of the activity ranging from 50%-100% of the cost of the project. Cost share contributions must comply with specific regulations, it is binding and auditable under an award. For this APS cost contributions are encouraged in all program areas and it will be evaluated as part of the cost realism analysis.

C. Program Areas

The following program areas are covered under this APS:

Funding Opportunities in the Bilateral Program Areas (For implementation in El Salvador)

1. Economic Growth:

1.A. Developing Economic Opportunities for Salvadoran Youth through Entrepreneurship

Background:

According to the International Labor Organization (ILO), youth are three times more likely to be unemployed than older workers in Latin America and the Caribbean. Unemployment and idleness

are two motivating factors for young people to join gangs or become illegal migrants. These idle young people are also susceptible to violence, criminality, early pregnancies, and addictions. Too often, they lack the necessary skills to take advantage of future social and professional development opportunities in El Salvador. When taken together, all of these things become the “push” factors which may drive young people to emigrate from their country.

Based on a 2013 study by the U.S. Committee for Refugees and Immigrants, we know that adult migrants are generally between the ages of 18 and 35, with almost 30 percent between 21 and 25. Furthermore we know that their average education is at secondary school levels. Finally, according to a 2013 study by the Inter-American Dialogue, we know that more than a third of Salvadorans age 18-30 are considering migration. There is a corresponding spike in migration among child migrants under age 18; data from the U.S. Customs and Border Protection Agency informs us that the number of Salvadoran unaccompanied alien children (UAC), being apprehended as they attempt to enter the United States has increased dramatically from 1,221 in FY 2009 to 15,800 in the just the third quarter of FY 2014.

USAID believes that expanding entrepreneurship in El Salvador can offer alternative paths to prosperity for young Salvadorans seeking to contribute to their communities and country. Furthermore, we see it as an additional method to promote school attendance among students who otherwise have difficulty recognizing the value of a traditional education.

Objective:

To address some of the root causes of migration, USAID/El Salvador is seeking to partner with private local organizations to implement entrepreneurial initiatives that generate better economic opportunities for youth. Expanding income generation and job creation opportunities through business development will encourage young Salvadorans and their families to see a positive future for themselves here in El Salvador.

Proposed activities should support entrepreneurship among young women and men age 15-30 who have never attended university. Preferred methods include the use of workshops and business contests in partnership with public and private schools at the secondary and postsecondary levels (especially vocational schools), NGO’s, local and national governments, and private sector businesses.

CDMYPEs (or Small Business Development Centers) hosted in private universities and NGOs could be potential partners for this initiative since they are uniquely positioned to contribute to local economic development that can deter migration. Their location in ten of the fourteen departments of the country enables them to promote decentralized economic growth.

Financial sector partnerships are also encouraged to link future entrepreneurs to access to finance. If possible, concepts should clearly outline how pilot activities could be scaled up on a national or regional basis in the future.

Funding Opportunities in the Regional Program Areas

1. Democracy

1.A. Regional Training/Academy (Priority will be given for home based operations in El Salvador with participants and implementation in the three Northern Triangle Countries: Guatemala, Honduras, and El Salvador)

Increasing Regional Capacity and Training in Crime Prevention and Violence Interruption.

A critical element of USAID's regional strategy is to promote evidence-based approaches, best practices, tools, and successful crime prevention and violence interruption models throughout the region. Sharing information across Central American countries to tackle citizen security challenges is a priority. **The** regional program seeks to test new and innovative approaches to citizen security strategies and adapt various crime prevention models region wide.

Engagement Priorities:

USAID seeks innovative applications to foster regional learning and exchange on citizen security best practices. USAID will consider applications that support the development of a regional training platform or academy that enhances regional capacity, learning and scale-up of best practices, and enhances the evidence base for crime prevention and justice sector strengthening in Central America. The application should address one or more of the following areas:

- Increase capacity and skill through training and exposure on regional and international best practices for policy makers, elected national and local authorities, civil society and other stakeholders involved in primary, secondary, and tertiary prevention efforts across the region. By being exposed to new and evolving violence interruption techniques and crime prevention strategies, Central American participants will be challenged to adapt these tools to their home country context.
- Strengthen regional networks between academic institutions, regional and international partners to facilitate the effective exchange of best practice models in violence prevention and justice sector strengthening.
- Promote documentation of existing best practice models, lessons learned and approaches for scale-up in different operating contexts especially in all phases of crime prevention.
- Testing new methodologies and innovative crime prevention models such, assessing impact in different contexts and evaluating the models for potential replication.
- Introducing new tools such as crime mapping, use of technology to improve reporting and information management.
- Promote exchanges between regional justice sector and security institutions, civil society and international partners to facilitate the effective exchange of best practice models in citizen security.

1.B. Social Science Research to Inform Citizen Security Policy (Priority will be given for implementation in the three Northern Triangle Countries: Guatemala, Honduras, and El Salvador)

Central America is lacking important data collection in the area of citizen security and governance due to limited capacity and resources, and a lack of adequate systems for data analysis and comparative information. Enhanced quantitative and qualitative data gathering techniques are needed to better evaluate and inform policy discussions around crime prevention models and methodologies being implemented or planned across the region. Regional programming will support governments and civil society organizations, to improve the collection, monitoring, and systematization of crime data at regional levels to further enhance analysis and dialogue of cross-border issues that impact citizen security and governance in the region.

Engagement Priorities:

USAID seeks innovative applications from implementing partners, preferably centers of higher learning or think tanks, with experience in conducting social science data collection and research in Latin America. USAID will consider applications that propose one or more of the following research topics to be explored within the Central American context:

- Crime and security
- Confidence and trust in democratic institutions
- Community resiliency
- Crime prevention
- Other topics of importance for security and governance in the region

Data collection methods may include:

- Perception surveys
- Case studies
- Focus groups
- GIS or data mapping
- Other qualitative or quantitative methodologies that are appropriate for addressing the selected research question(s) and suitable for comparative analysis.

1.C. Freedom of Media/Journalism (Priority will be given for implementation in the three Northern Triangle Countries: Guatemala, Honduras, and El Salvador)

Promoting freedom of expression and freedom of the press is a basic human right. Regional programming will support activities to enhance freedom of media and expression within the region, including activities that support the protection of journalists who report on crime and perform investigative journalism in the area of transparency and accountability and facilitate exchange of experiences. Enabling free and independent media will enable journalists to play an active role in conflict and violence prevention, and in the transition towards a culture of peace.

Activities may highlight media independence and pluralism as fundamental to the process of democracy by providing advisory services on media legislation and by making governments, parliamentarians and other decision-makers aware of the need to guarantee free expression. Activities may also provide comprehensive training to journalists on how to effectively report on citizen security and human rights issues, facilitate online and onsite platforms where journalists

from the region are able to share experiences and may promote joint coverage and investigative journalism on regional citizen security and human rights issues.

Engagement Priorities:

USAID seeks innovative applications that promote freedom of media and expression. USAID will consider applications that support activities in two or more of the following areas:

- Create secure online platforms for investigative journalists, which promote safe online collaboration and provide tools journalists need for research and investigation.
- Empower journalists with the skills and tools they need to improve the quality of investigations, work safely and securely, and be more effective in a multi-media environment.
- Create a regional clearinghouse for investigative journalism, linking national investigative journalism centers into a powerful regional voice for journalists.
- Promote protection mechanisms to ensure the safety of journalists who report on crime.
- Support a regional network to generate information of risks faced by journalists and reports on cases of aggressions against journalists.

2. Economic Growth

2.A. EXPANDING CLIMATE-RESILIENT AGRICULTURE IN CENTRAL AMERICA (For implementation in two or more SICA countries)

Background:

Climate change impacts affect the Central American region as a whole, stressing an already weak regional economy that heavily depends on agriculture and natural resources for incomes and livelihoods. The negative effects of climate change have been particularly impactful in agriculture, with droughts, varying and more extreme precipitation events, and rising temperatures have reduced yields. Additionally, related issues, such as the emergence and spread of pests, diseases, and fungi (e.g., coffee rust) have increasingly impacted agricultural production, incomes, and livelihoods. For a more sustainable future, new and existing climate-resilient farming practices must be expanded throughout the region in order to support long-term prosperity.

Objective:

USAID/El Salvador's regional environment program seeks applications from international and regional Central American organizations to promote creative solutions that advance or expand evidence-based, climate-smart agricultural practices on farms throughout the region. Only innovative applications that scale-up proven farm-level technologies to at least two Northern Triangle countries (i.e., El Salvador, Guatemala, and Honduras) will be considered. Applications will have the overall objective of ensuring that Central American producers of agricultural products will become more resilient to climate change through comprehensive, innovative climate-smart farming practices that are self-sustainable and increase incomes.

Additionally, USAID/El Salvador also seeks applications that consider available co-benefits used to employ creative solutions for soil or water conservation of and reduce greenhouse gas emissions reduction, decrease threats to important protected areas and sensitive ecosystems, or utilize renewable energy for improved climate-resilient farming. Of particular interest will be applications that form partnerships or have demonstrated market links for climate-resilient agricultural products, or that could be further expanded to a larger scale.

Applications will include a concise technical approach, a clear means of measuring impact, and evidence of project feasibility.

SECTION II - AWARD INFORMATION

A. Estimated Funding Level

Subjects to funds availability, approximately \$20 Million of FY 2015 and FY 2016 are expected to be available to support the program areas under this APS, for a maximum of 11 awards to implement activities in the following program areas as follows:

Bilateral Program Areas					
Program Areas	Approx. Funding Available	Number of awards	Cost share	Minimum grant size	Maximum grant size
Developing Economic Opportunities for Salvadoran Youth through Entrepreneurship	\$3 million	Up to 3	Encouraged	\$500,000	\$3 million
Regional Program Areas					
Program Areas	Approx. Funding Available	Number of awards	Cost share	Minimum grant size	Maximum grant size
Regional Training/Academy	\$5 million	Up to 2	Encouraged	\$2.5 million	\$5 million
Social Science Research to Inform Citizen Security Policy	\$5 million	Up to 2	Encouraged	\$2.5 million	\$5 million
Freedom of Media/Journalism	\$3 million	Up to 2	Encouraged	\$1.5 million	\$3 million
Expanding Climate-Resilient Agriculture in Central America	\$4 million	Up to 2	Encouraged	\$500,000	\$4 million

B. Types of Assistance Instruments

This APS has the flexibility to award Cooperative Agreements, Grants, and/or Fixed Amount Awards. Contracts are not authorized under this APS.

C. Substantial Involvement for Cooperative Agreements

USAID will be substantially involved in the program and management performance of any awarded Cooperative Agreement through technical collaboration on specified program interventions. Examples of USAID responsibilities are as follows. USAID (including the Agreement Officer's Representative (AOR) for a cooperative agreement provided through USAID) might provide:

- Approval of the recipient's implementation plans
- Approval of specified key personnel
- Agency and Recipient Collaboration or Joint Participation, such as, involvement in selection of advisory committee members; concurrence of substantive provisions of sub-awards; approval of

the recipient's monitoring and evaluation plans; or monitoring specified kinds of directions or redirection because of interrelationships with other projects.

SECTION III: ELIGIBILITY INFORMATION

A. Eligible Applicants

U.S. and non-US organizations may participate under this APS. In the case of certain future funding opportunities, solicitations may be limited to Regional or Local (i.e. Salvadoran organizations), which will be defined in the relevant amendment to this APS.

B. Profit or Fee

If profit making organizations apply under this APS, no profit or fee will be authorized under the activity.

C. Cost Sharing

Cost share proposed by private or local sources for the implementation of the program where feasible is encouraged. If cost share applications are accepted and cost share is made a part of the resulting award, contributions must be supported by adequate documentation, be allowable under the applicable cost principles and meet the criteria set forth in 2 CFR 200.306 Cost Sharing or matching. Please note that cost share is not required for a Fixed Amount Award. The selected awardee must meet the cost-share amount and requirements, and is subject to audit.

D. Participation Of Faith-Based And Community Organizations

In accordance with [Executive Order 13279, Equal Protection for the Laws for Faith-Based and Community Organizations](#), and [22 CFR 205, Participation by Religious Organizations in USAID Programs](#), are eligible to participate in USAID programs as long as they carry out eligible activities in accordance with all program requirements and other applicable requirements governing the conduct of USAID-funded activities, including those prohibiting the use of direct financial assistance from USAID to engage in inherently religious activities (see [22 CFR 205.1\(f\)](#)).

SECTION IV: APPLICATION AND SUBMISSION INFORMATION

A. The Application Process

USAID will follow a two-tier selection process as follows:

- a. Concept papers - due date June 15, 2015
- b. Full application - due date to be determined

Both, concept papers and full applications must be submitted by the established date and time indicated in this APS or any request for full application. If an application is not received in USAID by the specified date and time it may be excluded from further consideration.

a. Concept Papers.

Applicants must first submit a concept paper electronically at the following e-mail account: bibarra@usaid.gov which must not exceed five pages, not including cover page and budget. The e-mail must be identified with the following subject heading: "USAID/El Salvador APS No. 519-15-000001". The objective of the concept paper is to give USAID a clear understanding of the project that is being proposed. It is not intended to provide budget detail, staffing plans, organization background, or similar detailed information. The concept paper shall be about the project concept itself, concisely describing the purpose of the project, the geographic locations where the activities will be conducted, the timeframe for implementation, the number and description of the people or organization that will benefit, a general statement of the approach and expected results, and outline of expected management arrangements, and the amount of funds requested, including any expected cost share resources.

Concept paper format: Two sample concept paper templates are provided under Attachments 1 and 2. Applicants are encouraged to utilize the attached templates when submitting a concept paper to USAID for consideration. Further, all concept papers must clearly state the program area to which the application relates, as outlined in Section II of the APS and should be linked to only one program area under the APS. Concept papers may be submitted in Spanish or English. The concept paper will be reviewed by a panel of USAID employees who will determine whether the concept has sufficient technical merit to warrant preparation of a full application. Generally, concept papers will be reviewed primarily on technical merit, specifically the degree to which they contribute the achievement of objectives outlined in the APS. Concept papers will also be reviewed, depending on the program area addressed, on the basis of whether they include public-private partnership and cost/in-kind contributions. USAID will also review the degree to which they comply with the geographic location, cross-cutting practices, and budget parameters as stated in the APS. Multiple concept papers may be submitted by an organization.

b. Full Application:

If a Concept Paper is determined to be of interest to USAID, the USAID Agreement Officer will provide specific written requirements and instructions for submitting the full application, including submission of an SF-424, "Application for Federal Assistance", mandatory certifications, and a pre-award responsibility decision by the Agreement Officer. USAID/El Salvador is planning a workshop

or to provide specific information in order to assist with the process of submitting the full application. The workshop/information will be addressed to those organizations whose concept papers have been evaluated and were requested to submit a full application. Other parties that may be interested may also participate. More information on this workshop will be stated in the request for full application. Additional information sessions may be added depending on interest. Please contact bibarra@usaid.gov if you have any questions about attending this session. In addition, Evaluation Factors for full applications will be tailored to the requirement and generally include similar evaluations factors as listed below.

Application Format: The applications and all supporting material must be submitted in English only. Specific guidance: The full application will include a summary of program activities, expected program results, and mechanisms for monitoring and measuring program performance, a project timeline and implementation plan, a description of organizational technical, administrative and financial management capacity, a description of prior related work, letters of commitment among partners presenting alliances type arrangements, and a detailed budget.

B. Additional Considerations/Cross Cutting Practices:

Environmental Procedures

All potential partnerships are subject to an initial environmental examination before final approval. Further information may be found at 22 CFR 216.

Branding and Marking

It is a Federal statutory and regulatory requirement that all overseas program, projects, activities, public communications, and commodities that USAID partially or fully fund under an assistance award or sub-award must be appropriately marked with USAID identify. Under 2 CFR 700.348 USAID requires the submission of a Branding Strategy and a Marking Plan by the “apparently successful applicant.” The apparently successful applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements specified in 2CFR 700.348. Based on the above, a branding strategy and marking plan will not be required with the submission of the concept papers. However, apparent successful applicants will be required to submit both of these documents.

Further information on how to adhere to branding policies and marking requirements for grants and cooperative agreements are found in ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is —From the American people— on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicants to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. ADS 320 may be found at the following website: www.usaid.gov/policy/ads/300/320.pdf.

Sustainability

Concept papers should demonstrate the potential to yield sustainable solutions to the development challenge being addressed. The proposed activity should emphasize the transfer of methodologies and know-how among Salvadoran or Regional Organizations. Applicants should include activities that strengthen internal organizations capacity to eventually take the lead in expanding and sustaining programs after USAID funding ends. The activities should demonstrate proven success.

Gender

Concept papers should demonstrate how it will address any gender gaps to the proposed program areas based on gender analysis that considers how the roles that men and women play could impact implementation and/or results as well as how the proposed activity could potentially affect men and women differently.

Dun and Bradstreet Universal Numbering System (DUNS) and System for Award Management (SAM)

Each applicant is required to comply with the following before submitting its full application:

- (i) Be registered in SAM;
- (ii) Provide a valid DUNS number in its application;
- (iii) 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 USG Federal Agency.

USAID will not make an award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive a Federal award and use the determination as a basis for making an award to another applicant. Instructions on how to register in DUNS and SAM are described in Attachment 4. Registration in SAM and DUNS is not required for submission of the Concept Paper; however, successful applicants will be required to comply with registration in DUNS and SAM prior to award.

Controlling Language

It is USAID policy that English is the official language of all award documents because a translation may not convey the full meaning of the original. Therefore, any resulting awards under this APS will be in English only. No Spanish translation will be provided.

SECTION V: APPLICATION REVIEW INFORMATION

Concept papers and full applications will be evaluated by a panel of USAID employees. The following are the criteria to be used for evaluation of concept papers and full applications.

A. Evaluation Criteria for Concept Papers: All concept papers will be evaluated in accordance with the following evaluation criteria which are described in descending order of importance:

1. Alliance with USAID goals: Degree to which the concept paper contributes to the achievement of the program areas outlined in Section I of this APS.

2. Technical Feasibility: The concept paper describes well-defined and achievable objectives demonstrating how the proposed idea(s) will be successful. The enabling environment and the proposed combination of partner assets, resources, and expertise demonstrates how it will yield significant impact on one or more of the program areas mentioned in Section I. The financial and technical approaches must demonstrate viability. In addition, the involvement of local partners and/or beneficiaries must be clear.

3. Sustainability: The concept paper must demonstrate the potential to yield sustainable solutions, how local capacity will be built to address the challenges, and how the interventions will be sustained over time.

4. Scalability: USAID will consider how the proposed approaches can be scaled or replicated in a manner that would offer a broader set of impacts at the national, regional or even global level.

B. Evaluation Criteria for full Application: Successful applicants whose concept papers are selected for submission of a full application will be evaluated in accordance with the following evaluation criteria which are described in descending order of importance:

1. Technical Approach: Demonstrated approach that it is feasible, innovative and appropriate. USAID will review the extent to which the proposed technical approach can reasonably be expected to produce the intended results in a specific timeframe. This include reviewing the relevance of the approach to the problem to be addressed, whether the proposed activities are consistent with the objectives sought, how the activities are interrelated, and the proposed approach for monitoring, tracking, and reporting activities and results. USAID will review specifically for the degree of innovation proposed in the technical approach and the extent to which the applicant has considered innovative partnerships. USAID will review the effectiveness of the applicant's approach to gender issues related to the proposed activities. For applications with a focus on sustaining activities or organizational capacity beyond the life of the award, USAID will review the extent to which the proposed activity promotes, strengthens, and is supported by sustainable local organizations that can champion sound concepts, innovative practices, and changes beyond the life of the award.

2. Management and Staffing Plan: USAID will review the effectiveness of the approach in terms of internal organizational structure, technical, administrative and financial management, and

proposed staffing. USAID will strongly consider the ability and commitment to rapidly mobilize and start work. If partnerships are proposed, USAID will review the degree to which roles and responsibilities are clearly defined.

3. Sustainability: USAID will review a concise sustainability plan that demonstrates the activity's ability to be self-sufficient or replicable without the necessity of USAID further intervention in the medium and long term. USAID will review the extent to which strengthening of local organizational capacity, leveraging of private sector resources, and/or cost-share commitments are incorporated to enhance the activity's sustainability.

4. Past Performance: USAID will review past performance relative to demonstrated relevant technical experience and quality of performance in activities of similar technical content and scope in developing countries, preferably in Latin America.

5. Cost Effectiveness: Proposed budgets will be reviewed to determine if the applicant's approach is cost effective and makes use of existing resources, capacities, materials, tools, and other sources of funding. USAID will review the degree to which the results are objective, quantifiable and measurable with costs that can be tied directly to specific corresponding results.

C. Negotiation and Agreement of Terms: IF an application is selected by USAID for an award, after evaluating the full applications and subject to the availability of funds, then USAID/EI Salvador will enter final discussions to ensure all pre-award requirements are met and significant grant terms are negotiated and agreed. USAID will determine the appropriate form of the award, in consultation with the applicant organization, based upon the nature and amount of the funded application and the type of relationship to be established. Where feasible, USAID will use simplified format or fixed amount award type grant. Otherwise, most awards will use the Standard Provisions for Non-U.S. or U.S. Non-Governmental Organizations and may be either a grant or a cooperative agreement. If a cooperative agreement is selected, it will include a statement of involvement by USAID as part of the award terms and conditions.

The exact details of the negotiation phase will vary according to the circumstances pertaining to each application. It is possible that an application recommended for funding will not actually result in an award, due to insufficient availability of funding, or because the organization is deemed not sufficiently capable of managing a USAID grant, or for other reason(s) which will be discussed with the applicant. A decision not to fund an application may occur at any phase of the evaluation process. No activity expenditures will be paid by USAID/EI Salvador, except those previously authorized in a grant signed by the USAID Agreement Officer.

D. Due Diligence and Pre-Award Assessment

USAID will conduct a pre-award review that will include an examination of the application's budget to ensure it is a realistic financial expression of the proposed program and does not contain estimated costs which may be unreasonable or unable to be charged under the program. Depending on the type of award being considered, an additional pre-award survey or assessment may be conducted. The areas covered by a pre-award survey or assessment will vary according to

circumstances and to the type of USAID award being considered, but may include reviews to ensure the organization has the necessary financial management, program management, property management, procurement processes in place, reports and records, internal controls, etc. that demonstrates the organization is in good financial standing, and has the technical capacity to implement the proposed activity.

E. Pre-Award Certifications, Assurances and Other Statements of the Recipient: Organizations will be required to provide certain certifications, assurances, and other statements. A list of these are found in Attachment 3, including the Standard Form 424. All of these certifications and Forms will be required for execution during negotiations. For concept paper submissions, applicants are not required to execute any of these forms or certifications.

SECTION VI: FEDERAL AWARD ADMINISTRATION INFORMATION

A. Award Notice

Successful applicant will be notified in writing by the USAID/El Salvador Agreement Officer, normally thru electronic means. USAID/El Salvador will also notify unsuccessful applicants in writing, their status after selection is made. After execution of the award, recipients will participate in a “post award orientation” normally held at USAID/El Salvador premises.

B. Special Award Conditions

Some awards may incorporate specific requirements that recipients will need to comply within a given timeframe. These requirements are normally identified in the award as “special award conditions”.

C. General Information on Reporting Requirements

Program implementation reporting will be determined based on the outcome of the collaborative finalization of the planned program and the delineation of roles and responsibilities. An annual performance monitoring and evaluation plan, using established baseline data and specific, measurable targets and indicators will also be agreed upon. Financial reporting will be in accordance with the requirements of the award document.

D. Compliance with Local Labor Laws and Environmental Regulations

Recipients must comply with all required laws and regulations pertaining to labor and environment or any other law or regulation of the country where the proposed activity is implemented.

E. Standard Provisions

This APS incorporates in full text the standard provisions applicable to the APS. The resulting awards will incorporate the Mandatory and Required as Applicable Provisions, depending on the type of program area, the type of organization, and funding involved. More information can be found at <http://www.usaid.gov/who-we-are/agency-policy>

SECTION VII: AGENCY CONTACTS

The point of contact for this APS and any questions during the APS process are as follows:

Ms. Blanca de Ibarra

bibarra@usaid.gov

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

SECTION VIII: OTHER INFORMATION

Value Added Tax (VAT)

The Value Added Tax (VAT) charged in El Salvador is to be excluded from the price of the Award and is generally not an allowable cost under the Award. USAID will work with the Awardee and the Government of El Salvador to provide the Awardee the necessary documentation to obtain the VAT tax exemption.

Disclaimer

Issuance of this APS does not constitute an award or commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of concept papers or an application. This APS provides a vehicle for soliciting and receiving concept papers from potential implementing partners. USAID/El Salvador may amend this APS from time to time, as necessary or appropriate. Any such amendments can be found at www.grants.gov and/or the USAID/El Salvador website

Attachment 1
Concept Paper Format Bilateral Program Areas
(Not to exceed five pages)

Proposed Activity Name:
Timeframe proposed (Estimated Start/End Date):
Total Amount of Funding Requested:

Applicant Name:
Applicant's Contact Person:
Applicant's Address:
Telephone Number:
E-mail:
Type of Organization (U.S or non-U.S. Organizations):

Program Area Summary:

Purpose

[Concisely describe the Activity Purpose/what development problem/issue will be addressed]

Goals and Objectives

[Explain the goals of the activity describing what is the activity trying to achieve]

Links to APS

[Select which of the program areas of the APS is the proposed activity linked to:]

Program Areas	Check
1. Developing Economic Opportunities for Salvadoran Youth through Entrepreneurship	

Activity Strategy

[Explain the proposed approach to addressing the project issue/opportunity.]

Activity Beneficiaries

[Describe the specific number and type of beneficiaries to be reached.]

Geographic Location

[Describe where the activities will be carried out and where they are expected to have an impact.]

Activity Description

[Briefly summarize the main activities proposed.]

Cross Cutting Practices

[Briefly summarize how the activity will apply the suggested cross-cutting practices in the APS]

Expected Impact and Indicators

[Summarize the main expected outputs and outcomes from the activity]

Organizational Capacity

[Describe your organizations technical and administrative capacity.]

Partnership Arrangements

[Describe any expected partnership arrangements in detail, with the names of the partner organizations and their specific role in the activity and contributions.]

History of Performance

[Provide a list of contracts, grants, etc. involving similar or related activities during the past three years. The reference information for these awards must include the performance location, award number (if applicable), a brief description of the work performed, and a point of contact names with current telephone numbers]

Attachment 2
Concept Paper Format Regional Program Areas
(Not to exceed five pages)

Proposed Activity Name:
Timeframe proposed (Estimated Start/End Date):
Total Amount of Funding Requested:

Applicant Name:
Applicant's Contact Person:
Applicant's Address:
Telephone Number:
E-mail:
Type of Organization (U.S. or non-U.S. Organizations):

Program Area Summary:

Purpose

[Concisely describe the Activity Purpose/what development problem/issue will be addressed]

Goals and Objectives

[Explain the goals of the activity describing what is the activity trying to achieve]

Links to APS

[Select which of the program areas of the APS is the proposed activity linked to:]

Program Areas	Check one
1. Regional Training/Academy	
2. Social Science Research to Inform Citizen Security Policy	
3. Freedom of Media/Journalism	
4. Expanding Climate-Resilient Agriculture in Central America	

Activity Strategy

[Explain the proposed approach to addressing the project issue/opportunity.]

Activity Beneficiaries

[Describe the specific number and type of beneficiaries to be reached.]

Geographic Location

[Describe where the activities will be carried out and where they are expected to have an impact.]

Activity Description

[Briefly summarize the main activities proposed.]

Cross Cutting Practices

[Briefly summarize how the activity will apply the suggested cross-cutting practices in the APS]

Expected Impact and Indicators

[Summarize the main expected outputs and outcomes from the activity]

Organizational Capacity

[Describe your organizations technical and administrative capacity.]

Partnership Arrangements

[Describe any expected partnership arrangements in detail, with the names of the partner organizations and their specific role in the activity and contributions.]

History of Performance

[Provide a list of contracts, grants, etc. involving similar or related activities during the past three years. The reference information for these awards must include the performance location, award number (if applicable), a brief description of the work performed, and a point of contact names with current telephone numbers]

Attachment 3 Pre-Award Certifications

The required certifications, assurances, and other statements are:

a) A signed copy of ADS 303mav, Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions, which includes:

1. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.)
2. Certification Regarding Lobbying (22 CFT 227)
3. Prohibition of Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206, Prohibition of Assistance to Drug Traffickers)
4. Certification Regarding Terrorist Financing
5. Certification of Recipient

b) Other certifications and statements found in ADS 303mav, Certifications, Assurances and Other Statements of the Recipient and Solicitation Standard Provisions:

1. A signed copy of Key Individual Certification Narcotic Offenses and Drug Trafficking (ADS 206.3.10), as applicable
2. A signed copy of Participant Certification Narcotic Offenses and Drug Trafficking (ADS 206.3.10), as applicable
3. Other Statements of Recipient
4. Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements-Representation

4. PROHIBITION ON PROVIDING FEDERAL ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS - REPRESENTATION (APRIL2015)

(a) In accordance with section 743 of Division E, Title VII, of the Consolidated and further Continuing Resolution Appropriations Act, 2015 (Pub. L. 113-235), Government agencies are not permitted to use funds appropriated (or otherwise made available) under that or any other Act for providing federal assistance to an entity that requires employees, subawardees or contractors of

such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(b) The prohibition in paragraph (a) of this provision does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(c) By submission of its application, the prospective recipient represents that it does not require employees, subawardees, or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(End of provision)

Attachment 4

Instructions on how to register in DUNS and SAM

1- D-U-N-S Numbers

What is a DUNS Number and why do I need to obtain one?

The Data Universal Number System (DUNS) number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. If your organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet website: <http://fedgov.dnb.com/webform/displayHomePage.do>

How long should it take?

If requested over the phone, DUNS is provided immediately. Webform requests take 1 to 2 business days.

List of Information you will need to obtain a DUNS number (if your organization does not already have one):

- Name of organization
- Organization address
- Name of the CEO/organization owner
- Legal structure of the organization (corporation, partnership, proprietorship)
- Year the organization started
- Primary type of business
- Total number of employees (full and part time)

If your organization does not have a DUNS number, use the Dun & Bradstreet (D&B) online registration to receive one free of charge.

How do I get my D-U-N-S Number?

Visit [D-U-N-S Request Service](#) to obtain more detailed instructions on applying for your D-U-N-S Number. Also, see the [FAQs](#) for obtaining a D-U-N-S Number and visit [System for Award Management \(SAM\)](#). You may also refer to the attached guide, available in Spanish only.

2- SAM

What is SAM? The System for Award Management (SAM) is combining federal procurement systems and the Catalog of Federal Domestic Assistance into one new system.

Register/Update Entity

You can register your Entity (business, individual, or government agency) to do business with the Federal Government. If you are interested in registering or updating your Entity, you must first create a user account. Visit <https://www.sam.gov/> for registration.

Attachment 5

Solicitation Standard Provisions

The following mandatory (M) and required as applicable (RAA) standard provisions are part of this solicitation:

M.20. LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

- a) Construction is not eligible for reimbursement under this award unless specifically identified in paragraph d) below.
 - b) 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.
 - c) Agreement Officers will not approve any subawards or procurements by recipients for construction activities that are not listed in paragraph d) below. USAID will reimburse allowable costs for only the construction activities listed in this provision not to exceed the amount specified in the construction line item of the award budget. The recipient must receive prior written approval from the AO to transfer funds allotted for construction activities to other cost categories, or vice versa.
 - d) Description: Construction is not eligible for reimbursement under this award.
 - e) The recipient must include this provision in all subawards and procurements and make vendors providing services under this award and subrecipients aware of the restrictions of this provision.
- [END OF PROVISION]

M.21. USAID IMPLEMENTING PARTNER NOTICES (IPN) PORTAL FOR ASSISTANCE (JULY 2014)

(a) Definitions

“USAID Implementing Partner Notices (IPN) Portal for Assistance (“IPN Portal)” means the single point where USAID posts proposed universal bilateral amendments for USAID awards, which can be accessed electronically by registered USAID recipients. The IPN Portal is located at <https://sites.google.com/site/usaaidipnforassistance/>.

“IPN Portal Administrator” means the USAID official designated by the Director, M/OAA, who has overall responsibility for managing the USAID Implementing Partner Notices Portal for Assistance.

“Universal bilateral amendment” means those amendments with revisions or new requirements or provisions that affect all awards or a designated class of awards, as specified in the Agency notification of such revisions or new requirements.

(b) By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

- (1) Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and

(2) Receive universal bilateral amendments to this award and general notices via the IPN Portal.

(c) Procedure to register for notifications.

Go to <https://sites.google.com/site/usaidipnforassistance/> and click the “Register” button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.

(d) Processing of IPN Portal Amendments

The Recipient may access the IPN Portal at any time to review all IPN Portal amendments; however, the system will also notify the Recipient by email when the USAID IPN Portal Administrator posts a universal bilateral amendment for Recipient’s review and signature. Proposed USAID IPN Portal amendments distributed via the IPN Portal are applicable to all awards, unless otherwise noted in the proposed amendment.

Within 15 calendar days from receipt of the notification email from the IPN Portal, the Recipient must do one of the following:

(1) (a) verify applicability of the proposed amendment for their award(s) per the instructions provided with each amendment; (b) download the amendment and incorporate the following information on the amendment form: award number, organization name, and organization mailing address as it appears in the basic award; (c) sign the hardcopy version; and (d) send the signed amendment (by email or hardcopy) to the AO for signature. The Recipient must not incorporate any other changes to the IPN Portal amendment. Bilateral amendments provided through the IPN Portal are not effective until the both the Recipient and the AO sign the amendment;

(2) Notify the AO in writing if the amendment requires negotiation of additional changes to terms and conditions of the award; or

(3) Notify the AO that the Recipient declines to sign the amendment.

Within 30 calendar days of receipt of a signed amendment from the Recipient, the AO must provide the fully executed amendment to the Recipient or initiate discussions with the Recipient.

[End of Provision]

M.24 - PROHIBITION ON PROVIDING FEDERAL ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS (APRIL 2015)

(a) The recipient must not require employees, subawardees, or contractors seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractor from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(b) The recipient must notify employees that the prohibitions and restrictions of any internal confidentiality agreements covered by this provision are no longer in effect.

(c) The prohibition in paragraph (a) of this clause does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) (1) In accordance with section 743 of Division E, Title VI I, of the Consolidated and Further Continuing Resolution Appropriations Act, 2015 (Pub. L. 113-235), use of funds appropriated (or otherwise made available) under that or any other Act may be prohibited, if the Government determines that the recipient is not in compliance with the requirements of this provision.

(2) The Government may seek any available remedies in the event the recipient fails to comply with the requirements of this provision.

(End of clause)

RAA5. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (DECEMBER 2014)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration and more frequently, if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph c. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at www.ccr.gov/).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at fedgov.dnb.com/webform).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart C:

(i) A governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

- (iv) A domestic or foreign for-profit organization; and
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you, as the recipient, award to an eligible subrecipient.
- (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200 subpart F Audit Requirements).
- (iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

ADDENDUM (JUNE 2012):

d. Exceptions. The requirements of this provision to obtain a Data Universal Numbering System (DUNS) number and maintain a current registration in the Central Contractor Registration (CCR) do not apply, at the prime award or subaward level, to:

- (1) Awards to individuals
- (2) Awards less than \$25,000 to foreign recipients to be performed outside the United States (based on a USAID determination)
- (3) Awards where the Agreement Officer determines, in writing, that these requirements would cause personal safety concerns.

e. This provision does not need to be included in subawards.

[END OF PROVISION]

RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)

a. Reporting of First-Tier Subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.(1) of this award term to www.fsrs.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsr.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) The total Federal funding authorized to date under this award is \$25,000 or more;

(ii) In the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at www.ccr.gov/.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt, as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you must report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

(i) In the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (for example, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions.

If in the previous tax year you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) Subawards, and

(2) The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions.

For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR 25:

(i) A governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization;

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200 subpart F Audit Requirements).

(ii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(4) Subrecipient means an entity that:

(i) Receives a subaward from you (the recipient) under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

(v) Above-market earnings on deferred compensation which is not tax-qualified.

(vi) Other compensation, if the aggregate value of all such other compensation (for example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]