



June 6, 2016

Subject: Notice of Funding Opportunity (NOFO)
Request for Applications (RFA) No. RFA-520-16-000003
Amendment No. 1

Program Title: Community Roots Project

Dear Applicants:

This Amendment No. 1 to subject NOFO is hereby issued to make the following changes:

1. Section A.3, **Program Description and Objectives**, subsection 3.2, Objective 1, delete footnote No. 15 in its entirety (page 17).
2. Section C.4, **Partner Vetting Pre-Award Requirements**, modify as follows:
 - 2.1 Section b(1), delete annex 4 and substitute with the AID form 500-13 included in the following link: <https://www.usaid.gov/forms/aid-500-13>
 - 2.2 Section b(2), delete the name and email of the vetting official and substitute as follows:

“Vetting official: Joshua Smith
Email: josmith@usaid.gov”
 - 2.3 Add the following at the end of this section:

“USAID requires information on all “key individuals.” Key individuals are principal officers of the organization's governing body, and the principal officer and deputy principal officer of the organization, as well as the Chief of Party, or Country Director, and any other person with significant responsibilities for administration of USAID financed activities or resources. All key personnel need to be vetted. We will send additional information on the vetting procedure once the apparently successful applicant is identified.”
3. Section D.4, **Technical Application Format**, IV. Annexes, add the following:

“h. Written sample in English and Spanish from the Communications Specialist (no more than one page each)”
4. Section F.3 **Participant Training**, Annex A includes the Mission Order 253 referenced under this section.
5. Section F.13, **Reporting Requirements**, subsection 13.2.1 Annual Work Plans, delete the following requirement in page 62:

“International travel plan for the year”

6. Annex 1, **Illustrative Indicators for the Community Roots Project**, delete in its entirety and substitute with the Annex B of this modification.
7. Annex C includes a list of answers to all questions received.

All other terms and conditions of the NOFO remain without change and in full force.

Sincerely,

/S/

Dion L. Glisan
Agreement Officer

USAID/Guatemala MISSION ORDER

ORDER No. 253
SUBJECT: Training for Development/Visa Compliance for Exchange Visitors
REFERENCE: **ADS 252, 253 & Best Practices Guide**
(<http://www.usaid.gov/policy/ads/200/253saa.pdf>)
EFFECTIVE DATE: **April 30, 2010**
SUPERSEDES: **MO 2.7 Updated: 10/22/2002**

I. PURPOSE

- Clarify the roles and responsibilities for planning, implementing, and monitoring training/human capacity development (HCD) interventions.
- Provide a summary of policy guidance and procedures for efficient design, implementation, monitoring, assessment and evaluation of HCD programs conducted offshore or in-country in support of the Mission's Strategic Objectives (SOs).

In addition to this Mission Order (MO), SO teams, Activity Managers, and implementing partners are encouraged to familiarize themselves with the policies and essential procedures contained in ADS 206, 252, and 253.

II. AUTHORITY

ADS 203 – Assessing and Learning
<http://www.usaid.gov/policy/ads/200/203.pdf>

ADS 206 – Prohibition of Assistance to Drug Traffickers
<http://www.usaid.gov/policy/ads/200/206.pdf>

ADS 252 – Visa Compliance for Exchange Visitors
<http://www.usaid.gov/policy/ads/200/252.pdf>

ADS 253 – Participant Training for Capacity Development
<http://www.usaid.gov/policy/ads/200/252.pdf>

22 CFR 62 – Exchange Visitor Program
http://www.access.gpo.gov/nara/cfr/waisidx_07/22cfr62_07.html

Complete Guide to USAID Visa Compliance
http://trainethelp.usaid.gov/Documents/rawmedia_repository/45c098a0_d440_4654_a4c5_aae86cc5c157--document.pdf

III. APPLICABILITY

This MO applies to all training related activities (participant training) and non-training related activities (invitational travel) that are funded fully or partially, directly or indirectly by USAID.

IV. DEFINITIONS

For definitions used throughout this MO, please refer to ADS 252.6 and 253.6.

V. POLICY DIRECTIVES AND ESSENTIAL PROCEDURES

1. Linkage with Mission Strategic Results

USAID policy requires that all training/HCD activities support the attainment of Intermediate Results (IRs) under an SO or otherwise contribute to the achievement of a Project or Activity

goal, to a USG special initiative.

Approved SOs managed by USAID/Guatemala:

Democracy and Governance	Ruling Justly: More Responsive, Transparent Governance
Economic Growth	Economic Freedom: Open, Diversified, Expanding Economies
Health and Education	Investing in People: Healthier, Better Educated People
Regional HIV/AIDS Program	Investing in People: Healthier, Better Educated People

2. Use of TraiNet

TraiNet is an agency-wide information management tool that facilitates performance tracking, analysis, and reporting of training by SO. It is also the **ONLY** source to obtain the DS2019 form (Certificate of Eligibility for Exchange Visitor J-1 Status) required to request a USAID-sponsored J-1 visa to the U.S.

USAID policy requires that implementing partners (IPs), in coordination with the Mission Training Officer in the Planning and Program Support Office (PPSO) and SO team training coordinators, provide TraiNet data for all training in their sphere of management. The Mission Training Officer or the designated staff from the IP will make the final entry into the TraiNet database. To meet federal government-wide reporting requirements, training data needs to be entered into TraiNet and submitted to EGAT/ED on a quarterly basis.

The minimum required data for the TraiNet system is:

U.S. Based Training	In Country and Third Country Based Training
Name of the USAID/Guatemala project	Name of the USAID/Guatemala project
Relevant SO and IR	Relevant SO and IR
Name of training program	Name of training program
Program Description	Program Description
Start and end dates	Start and end dates
Participant's Biographical Information (name, address, birth date, sex, position)	Number of participants (by gender)
Health and Accident Coverage Information	Health and Accident Coverage Information (for third-country training)
Visa Information	
Field of study	Field of study
Estimated Cost	Estimated Cost

3. Conditions and Eligibility of Candidates

Persons selected for training will: a) be affiliated with an organization that has strategic importance to USAID, b) occupy a position that allows for the training to be applied toward improvement of the organization's performance, and c) have the physical and emotional stamina to complete the training and the commitment to use it effectively (i.e., that they be physically and mentally prepared to fully participate in and benefit from the training event). Please refer to ADS 253.3.2 <http://www.usaid.gov/policy/ads/200/253.pdf>

4. Gender Balance

The Mission shall work toward the goal of achieving at least fifty percent women participation in training programs.

5. Disabled Participants

USAID/Guatemala will not exclude potential candidates for training based solely on the existence of a physical disability.

6. Dependents

USAID/Guatemala will not be responsible for any expenses related to the participant's family members.

VI. PLANNING AND IMPLEMENTING TRAINING ACTIVITIES

The following actions will be taken for planning and implementing training activities:

- Perform an assessment to determine whether or not training is the most appropriate intervention to address performance gaps;
- Set forth a strategic, transparent screening and selection process to ensure that participants who are selected for the training have the potential to affect change within their institution or work place;
- Ensure top level supervisors' or managers' commitment to improved performance in the participant's work place;
- State training needs in behavioral terms with a clear expected outcome that is directly related to the participant's work within the institution's mission.
- Define a clear non-ambiguous Training Objective. It should match the training need and clearly state what the participant will gain;
- Note the training objective in two or three statements on the Training Agreement (Attachment 1). The participant should review the objectives and indicate how he intends to use the new knowledge on the job;
- Give the participant a Pre-test to determine what he already knows about the subject.

IPs will develop an Annual Training Plan which will be included in the Annual Work Plan submitted for USAID/Guatemala's approval.

VII. MONITORING, ASSESSMENT and EVALUATION OF HCD INTERVENTIONS EFFECTIVENESS

IPs will follow the procedures described below in order to monitor, assess and evaluate the effectiveness of HCD interventions:

1. Post-Training Testing and Evaluation. A post-training test will be administered immediately upon completion of the training. It will determine what knowledge the participant(s) acquired. The post-test may be orally based, an individual written exercise, or any other format appropriate for the participant(s). A post-training evaluation form will also be required to be completed by each participant which would include for example, recommendations of how the training could be more tailored to the needs of the participants, as well as long-term feedback from IP supervisors as to what impact the training has had in the work place. (Attachment 2 shows a sample post-training evaluation).

2. Monitor the participant's use of new knowledge, skills, and abilities formally and informally. Monitoring should begin shortly after the participant returns to work, and be continued as an on-going informal exercise by the supervisor such as observation as well as some regularly scheduled formal exercise (i.e., interviews and/or tests). One aspect of the monitoring should include a three-month post-training survey of participants' and supervisors' perspectives. As stated in Item 1, a long-term post-training survey should include feedback from the participants as to how to better tailor future training programs to suit specific needs of the training participant pool, as well as the supervisors' reporting on the current impact and results of the training, including for example, the improved performance of the participants. The survey might vary from a simple checklist to a face-to-face or virtual interview.
3. Structured follow up activities. Observation and further evaluation of longer term performance changes should be carried out within the participant's work place. Follow up activities might include: frequent or periodic mentor-protégé sessions, flash cards and other job aids, intermittent coaching, group projects, refresher seminars, videos, technical assistance, etc.

It is recommended that SO teams/IPs budget a minimum of 10-20% of the training cost for follow up.

These procedures are applicable for all in-country training events of two or more consecutive days or 16 or more intermittent contact hours and for all international (U. S. and third-country) training activities. For shorter events, IPs will develop a simpler monitoring system.

VIII. U.S. - BASED TRAINING

1. Participant eligibility for U. S. Training

Please refer to ADS 253.3.2: "Participant Eligibility and Selection."
<http://www.usaid.gov/policy/ads/200/253.pdf>.

2. Participant Security Risk and Fraud Inquiry

USAID/Guatemala will conduct a security risk and fraud inquiry for all participants being considered for U.S. or third-country training as well as for exchange visitors traveling to the U.S. The Mission's Training Officer will initiate the process at least 12 weeks before the expected travel date and the findings will be retained in the participant's file. To complete the investigation process, the IP will complete the information requested in the Name Check form (Attachment 3) and the Information for Processing International Trainees (Attachment 4).

3. English Language Proficiency

SO teams or IPs, as appropriate, will do a language assessment if there are any doubts of a Participant's proficiency in the language in which the training activity is to be conducted. (ADS 253.3.4.3.b).

4. Health and Accident Insurance Coverage (HAC)

Health and Accident Insurance Coverage (HAC) is required for all USAID-sponsored exchange visitors and training participants. IPs must enroll participants in the official USAID HAC program through the authorized HAC provider. Information about the authorized HAC provider may be found in ADS 253.

5. USAID-Sponsored J-1 VISA

All travelers (exchange visitors and/or training participants) being funded fully, partially,

directly, or indirectly by USAID **must enter the U.S. on a J-1 Visa, regardless of the type or duration of the activity.** J-1 visas are processed by the Mission Training Officer.

6. TraiNet Reporting

All training programs/participants that are funded with USAID funds (partially, fully, directly, and/or indirectly) need to be entered in the TraiNet database. At present, this responsibility rests on the Mission Training Officer, but eventually it will be delegated to IPs.

IPs are responsible for tracking the whereabouts of their participants in the U.S. (as well as in third countries) and their return status at the conclusion of training. To comply with this requirement, IPs must confirm to the Mission Training Officer that the participant arrived in the U.S. and began his or her training program. Likewise, IPs must notify the Mission Training Officer of their return to the home country upon conclusion of the training program. These confirmations must be made within three calendar days of the program's start and end dates.

7. Non-Returnees

Participants must leave the country of training immediately (within three calendar days) after the program end date.

8. Prohibition of Assistance to Drug Traffickers (ADS Chapter 206, Section 487 of the Foreign Assistance Act (FAA))

Section 487 of the FAA requires the Agency to take all reasonable steps to ensure that United States foreign assistance resources are not provided to any individual involved in the trafficking of narcotics. ADS 206 contains guidance on implementing this requirement. To comply with this requirement, USAID/Guatemala will perform a name check (including confirmation of certain biographical information) of the participants being considered for international training. They will also have to sign the Narcotics Offenses and Drug Trafficking Certification form (Attachment 5).

9. Travel (Use of a U.S. Carrier)

USAID/Guatemala ensures compliance with the USG policy that requires: (a) travel via a U.S. carrier, and (b) use of economy class booking.

10. Historically Black Colleges and Universities (HBCUs) and Other Minority Serving Institutions (MSIs)

USAID/Guatemala will include HBCUs and MSIs among training providers when their programs match the Mission's requirements.

11. Lead-time

In view of the various documents and external requirements that are needed to implement U.S. and third country training, it is Mission policy that international training requests be initiated at least **12 weeks** in advance of the desired training event.

12. Two-year Residency Requirement

All travelers under a J-1 visa are required to return to their home countries and fulfill a two-year residency requirement as provided in the visa regulation, before they are eligible for U.S. permanent residence. The 24 month residency requirement needs not to be consecutive, but must be completed.

13. Employment in the U.S.

All USAID-sponsored participants/visitors under the J-1 visa are prohibited from being employed except in connection with an apprenticeship, on-the-job training, or practical training experience that is an integral part of the training program.

IX. THIRD COUNTRY TRAINING

IPs must follow the procedures described below for third-country training events:

1. Third-country training must **not** take place in countries that are
 - Considered unfriendly by the U.S. Department of State and to which travel by U.S. citizens is prohibited; or
 - Identified as terrorist countries by the Department of State.
2. IPs must be prepared to independently plan and manage the full range of third country training activities since on-site support may not be available in the receiving country.
3. It is USAID policy that third country training participants must have health and accident insurance coverage. IPs may choose the insurer (i.e., HTH, Assist Card, others).
4. Participants must have a Security Risk Investigation conducted by USAID/Guatemala and they will have to sign a Narcotics Offenses and Drug Trafficking Certification.
5. Training requests should be initiated at least eight weeks in advance of the desired program start date in order to perform the Security Risk Investigation.

X. IN-COUNTRY TRAINING

IPs are responsible for planning, managing, monitoring, and overseeing in-country training activities. As part of each quarterly report, the IP shall provide information on all in country training events performed during the reporting period. This report shall include at a minimum: name of the training program, field of study, relationship to the objectives of the implementing instrument, start and end dates, estimated cost (USAID's cost and partner's cost disaggregated by instruction, trainee, and travel) and number of male and female participants.

XI. ROLES AND RESPONSIBILITIES

Responsible Person	Action
SO Teams/Activity Managers	Ensure that training is linked to and supports the attainment of IRs or project goals; Ensure that procedures and systems to plan, implement, assess and evaluate the effectiveness of training are followed.
Mission Training Officer	Provide Mission-wide coordination on all matters related to training; Advise SO teams and partners on training issues; Serve as a consultant to SO teams' and IPs' training contact persons on training policies and procedures; Serve as TraiNet coordinator; Liaise with the Embassy on visa matters; Liaise with EGAT/ED on training issues. Facilitate compliance with the requirements established in this MO.

Responsible Person	Action
Participants	Sign all required documents (i.e., the Training Agreement, Narcotics Offenses and Drug Trafficking Certification); Provide all documentation required for administrative and program purposes; Devote full time to the programs; Apply the new skills acquired in their work place.
Supervisors/Employers	Create conditions that allow for the effective use of the participants' training; Share information for results reports.
SO Implementing Partners	Develop an Annual Training Plan based on needs assessment; Submit Annual Training Plans along with Annual Work Plans Identify participants; Define training objectives; Administer all program and financial matters related to participant training activities; Implement pre-training activities; Monitor and evaluate the results and impact of the training; Collect post-training feedback; Implement post training follow up; Document, analyze, and report results to USAID; Enter or provide TraiNet data; Report non-returnees to the Mission Training Officer.

XII. REQUIRED FILE DOCUMENTATION (for all participants attending international travel)

The IP must keep on file at a minimum the following relevant documentation pertaining to the participants and sponsored activities. The IP is responsible for sending a copy of the following documents to USAID/Guatemala's Training Officer via email or fax at least **12 weeks** prior to the program start date.

- Copy of face page of participant's passport
- Signed copy of Information for Processing International Trainees form
- Signed Narcotics Offenses and Drug Trafficking Certification Form
- Signed Conditions of Sponsorship Form for J-1 visa holders (U.S. training only) (Attachment 6)
- Name Check Form

XIII. Attachments

1. Training Agreement
2. Post-training evaluation
3. Name Check form
4. Information for Processing International Trainees form
5. Narcotics Offenses and Drug Trafficking Certification
6. Conditions of sponsorship form for J-1 visa holders

Drafter: LMAlfaro, PPS
Clearance: ERojas, PPS
TSloan, DGO
RGarland, ETEO
IStout, HEO
ATaylor, RLA
A/DDIR

Handwritten notes:
Jun 2/17/2010
for 2/17/2010
6/13/2010 (read today)
for 4/14/2010
4/19/2010
email 4/27/2010 (attached)
4/29/2010

P:\Pps.pub\MISSION ORDERS\Participant Training M. O. update.doc

Approved: Wayne E. Nilsestuen
Wayne E. Nilsestuen
USAID/Guatemala Mission Director

Date: 4-30-2010

Alfaro, Ligia (GUATEMALA/PPS)

From: Taylor, Alexis (San Salvador/DIR)
Sent: Tuesday, April 27, 2010 2:30 PM
To: Alfaro, Ligia (GUATEMALA/PPS)
Cc: Rojas, Ernest (GUATEMALA/PPS); Salazar, Lucia (GUATEMALA/PPS)
Subject: RE: updated Mission Order Text and Annex 2

Ligia,

This is fine. I clear.

Regards,

Alexis M. Taylor
Regional Legal Advisor (RLA)
USAID/EI Salvador
(503) 2501-3365 Telephone
(503) 2298-0885 Fax
altaylor@usaid.gov

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Please consider the environment before printing this email

From: Alfaro, Ligia (GUATEMALA/PPS)
Sent: Tuesday, April 27, 2010 2:18 PM
To: Taylor, Alexis (San Salvador/DIR)
Cc: Rojas, Ernest (GUATEMALA/PPS); Salazar, Lucia (GUATEMALA/PPS)
Subject: updated Mission Order Text and Annex 2

Hi Alexis; we incorporated most of your suggestions. There are a couple of comments that address the changes we did not accept. Enclosed is the updated mission order text as well as an updated version of Annex 2.

We will be waiting for your clearance.

Thank you.

Attitude is everything, so pick a good one.



Before printing this or any other document, please think about your responsibility to the environment.

Ligia María Alfaro
Planning and Program Support Office
Tel. (502) 2422-4308
Fax (502) 2422-4594

4/27/2010

USAID Guatemala Training Agreement

The Stakeholders Agreement (a.k.a. Training Agreement) serves three purposes, namely it:

- a) clarifies the objectives of the training or other capacity development intervention, i.e., it identifies the knowledge and skills (KSA) that the participant is expected to gain from the training event;
- b) shows how the participant will use the newly acquired KSA in his / her workplace
- c) indicates the supervisor's concurrence that the work environment will allow the participant to apply the new KSA.

Participant's Name: _____
Organization/Employer & Position: _____

Training/Capacity Development Program: _____
Program Date Begins: _____ Ends: _____

Strategic Objective (SO)/Project or Activity: _____

Objective(s) of the Training/ Capacity Development Event: (what the participant is expected to gain):

USAID Implementing Partner

In order to recover the value of the training investment, in collaboration with the SO team I will monitor and document the impact of training and how it contributed to the SO/Project/Activity. Copies of my observations will be shared with the SO team or other designated USAID staff and the participant's employer.

Participant

I, _____, as the Participant, agree to return to work and apply the benefits of this training on the job. I will:

- a) brief my supervisor on the training and provide feedback on the results
- b) share new skills, resource materials, etc. with colleagues
- c) keep USAID informed of professional successes that may be linked to my training, and,
- d) help improve performance in my workplace in the following way(s):

Employer

I, _____, as the supervisor/employer of _____, a participant in a USAID-funded training program, will make provisions for his/her effective use of the training to improve workplace performance.

Signature and Date:

Participant: _____ Date: _____

Supervisor: _____ Date: _____

Implementing Partner: _____ Date: _____

USAID Designee: _____ Date: _____

USAID/Guatemala Post-Training Evaluation

Name of Participant: _____
Name and Date(s) of the Training Program: _____

Part 1: For **Participants** (Please complete parts (a) and (b) immediately after the training).

a) Reaction (On the left of the statement please place **A** if you agree, or **D** if you disagree)

- ___ The training was relevant for my job
- ___ The training content matched the objectives on the Stakeholders Agreement / Training Plan
- ___ The instructor(s) conducted the training in a clear, understandable manner
- ___ The length of the program was just about right
- ___ I was able to ask questions and participate in discussions during the training.

b) Learning

- ___ I gained new knowledge / skills from the training
- ___ I gained some ideas about how to apply the training in my work
- ___ I have a clear idea about how to share the new knowledge / skills with my colleagues
- ___ I believe the training will make a difference in the overall performance of my work place

c) Recommendations

How can the training be more tailored to the needs of the participants?

Part 2: For **Participants** (To be completed three months after the training)

d) Performance (Please circle the item that best describes your situation)

Three months ago I attended a USAID-sponsored training program, and I use the new knowledge / skills
(a) often - *at least 2 or 3 times per week* (b) occasionally *2 or 3 times per month* (c) very rarely *less than 1 time per month* (d) not at all

The training has helped me in the following ways:

- ___ complete my work assignments faster
- ___ complete work assignments more accurately
- ___ take on additional work that was not in my regular job description before the training
- ___ suggest new ideas about the work place to my supervisor
- ___ share the new knowledge or skills with my colleagues
- ___ gain recognition from: ___ (a) my supervisor ___ (b) others in the work place
- ___ make a noticeable change in the way the work place functions
- ___ Other (please explain) _____

Comments _____

Part 3: For **Supervisors or Implementers** (To be completed three months or longer after the training)

e) Results

Please share your reactions to the items in "d" above by marking the statement T (true) or F (false)
Please indicate if / how the training has made a difference in performance in the work place.

REQUEST FOR NAME CHECKS

DATE: _____

TO: Regional Security Office

FROM: _____

SUBJECT: NAME CHECKS

Please run name checks on the following person.

Name and last names of the subject:

Nombre y apellidos del sujeto: _____

Date of birth:

Fecha de nacimiento: _____

Place of birth:

Lugar de nacimiento: _____

Father's name:

Nombre del padre: _____

Mother's name and maiden name:

Nombre de la madre (soltera): _____

ID No. :

Cedula No.: _____

Issued in:

Extendida en: _____

Home address:

Dirección de Residencia: _____

Home phone number:

Teléfono de residencia: _____

Name of the company:

Empresa para la que trabaja: _____

Position:

Puesto que desempeña: _____

NOTE: THIS FORM SHOULD BE FILLED OUT COMPLETELY FOR EACH WORKER. PLEASE SEND THIS FORM TO THE RSO OFFICE 1 TO 2 WEEKS PRIOR TO THE INITIATION OF WORK.



USAID

FROM THE AMERICAN PEOPLE

Attachment 4 Mission Order 253

USAID/Guatemala

Information for processing U.S. and Third-Country Trainees

Name of Training Event	
Description of Event	
Field of Study	
Training Objectives (please be as descriptive as possible)	
Dates of event	
Travel dates	
Name, address and telephone number of training facility	
Name, address and telephone number of training provider	

Personal Data for Trainee:

Full name	
Date and place of birth	
Personal address and telephone number	
Father's and mother's names	
Identity card (cedula) number and place of issuance	
Marital status	
Passport number	
Passport validity dates (issuance and expiration)	
Name, address, telephone number and email address of employer	
Name of position	
Hotel name, address and telephone number	

Estimated Budget:

	USAID	Other Sources (specify)
Transportation (air freight)		
Per diem		
Enrollment		
Insurance		
Other (please describe)		

PLEASE ATTACH A LEGIBLE PHOTOCOPY OF THE TRAVELER'S PASSPORT INFORMATION PAGE.

FOR **U.S. TRIPS**, PLEASE SUBMIT THIS INFORMATION **AT LEAST 12 WEEKS** PRIOR TO THE EVENT TO:

Ligia María Alfaro - Program Planning and Support Office

lalfaro@usaid.gov

Tel. (502) 2422-4308 - Fax (502) 2422-4594

FOR **THIRD-COUNTRY TRIPS**, PLEASE SUBMIT THIS INFORMATION **EIGHT WEEKS** PRIOR TO THE EVENT.

**PARTICIPANT CERTIFICATION
NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Name: _____

Title/Position: _____

Organization: _____

Place and date of birth: _____

Signature: _____ Date: _____

NOTICE:

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

**CERTIFICACIÓN DE PARTICIPANTES
DELITOS RELACIONADOS CON NARCÓTICOS Y TRÁFICO DE DROGAS**

1. Bajo pena de perjurio, por este medio certifico que durante los últimos diez años:
 - a) No he sido condenado por infringir, o por conspiración para infringir, ninguna ley o reglamento de los Estados Unidos o de cualquier otro país relacionado con narcóticos o medicamentos psicotrópicos o cualquier otra sustancia controlada.
 - b) No soy ni he sido un traficante ilegal de dichas drogas o sustancias controladas.
 - c) No he ayudado, tenido complicidad, conspirado o confabulado conscientemente con otras personas en el tráfico ilegal de dichas drogas o sustancias.
2. Entiendo que USAID puede dar por terminada la actividad en la que estoy participando y exigir que reintegre la cantidad desembolsada por USAID si se determina que yo participé en actividades como las mencionadas anteriormente durante los últimos diez años o durante el período que dure la actividad financiada por USAID.

Nombre Completo: _____

Título/Cargo: _____

Organización: _____

Lugar y Fecha de
Nacimiento: _____

Firma: _____ Fecha: _____

OBSERVACIONES:

1. Se requiere que usted firme esta certificación de conformidad con las disposiciones de la sección 140 del Código 22 de Reglamentos Federales (CFR, por sus siglas en inglés), Prohibición de Ayuda a Traficantes de Drogas. Estas normas fueron emitidas por el Departamento de Estado y requieren que ciertas personas que participan en actividades financiadas por USAID firmen esta certificación.
2. Si su certificación es falsa, usted está sujeto a enjuiciamiento penal de conformidad con el Código 18, 1001, de los Estados Unidos y al retiro de la ayuda para la cual se firmó esta certificación.



USAID
FROM THE AMERICAN PEOPLE

**BUREAU FOR ECONOMIC GROWTH, AGRICULTURE AND TRADE
OFFICE OF EDUCATION**

CONDITIONS OF SPONSORSHIP FOR J-1 VISA HOLDERS

1. Name of Participant (Mr., Ms., Dr.) (Family, Given, Other)
2. Name of Program
3. Brief Description of Program
4. Name of Activity Provider and Phone, Fax and Address of Primary Contact
5. Start/End Dates
6. Expected U.S. Address

I agree that, as a USAID-sponsored Exchange Visitor, I will adhere to my program, devote my time and attention to my program, and conform to USAID regulations. I understand that I must return to my country immediately upon completion of my program and endeavor to utilize the knowledge, skills and attitudes acquired under this program for the benefit of my country.

Furthermore, I thoroughly understand the following requirements of USAID:

Two-year Home Residency Requirement: I understand that I am required to return home immediately (within three days) after the Program End Date indicated on the approved Certificate of Eligibility form DS-2019 unless circumstances arise that would preclude my departure and that EGAT/ED approves in writing, and I must remain in my home country for a total of two years after the completion of my program, unless deferred by the USAID Mission. *(The two year home residency requirement does not preclude me from traveling to the U.S. during such period under another non-immigrant visa such as B-1/B-2 if the travel is approved by a U.S. Consul. Instead it means that I will not be eligible for certain types of non-immigrant visas (e.g., H-1 or L-1) or for legal permanent residence in the U.S. until I have spent a total of 24 months in my home country).* I will not attempt to change my non-immigrant status in the U.S. I understand that marriage to a U.S. citizen, the birth of a U.S. citizen child, an offer of employment or change of sponsorship, passage of years or time spent in another country, will not change my responsibility to return home upon completion of this USAID program. I agree to repay all training costs plus possible penalty charges, administrative costs, and interest in case of late payment, if I fail to return home at the end of my program, unless deferred by USAID. The repayment of these costs does not in any way eliminate or waive the two-year home residency requirement. USAID will bill me for these costs at the last known address on record. I understand that any amounts which may be due USAID as a result of my failure to meet the terms of this Conditions of Sponsorship may be withheld from monies owed me by the U.S. government or may be recovered by such other methods as permitted by law.

2. J-1 visa: I will receive and must remain on a USAID J-1 visa during my stay in the United States. I understand that I am responsible for making certain that my J-1 visa is current, and that I notify my monitoring contractor of any changes in my program completion. I understand that requests for extensions of my program will only be approved if they meet the USAID strategic objectives of my program. I understand that if I plan to travel outside of the U.S., I must and will immediately notify my monitoring contractor in advance since USAID is required to report any changes to participant status, including any changes in current U.S. address, to the Bureau of Citizenship and Immigration Services and the Department of State via the Student and Exchange Visitor Information System (SEVIS).

3. Medical Insurance: I understand that USAID is not responsible for any costs related to medical care while I am in the U.S. I understand that I will be enrolled in an insurance program that is mandatory for all USAID-sponsored participants, and I will be covered only for the coverage/limits provided by that health insurance program. I understand that I am responsible for paying the insurance deductible and co-payment (if required) and for the prompt filing of medical claims. I authorize the insurance company that issued the insurance policy, the premiums of which are paid by USAID, or its stated representative, to release all information related to such medical claims to USAID and its stated representative.

USAID shall use such claims information for reviewing its entire insurance program. I understand that I have the right to revoke this authorization by providing written notice to USAID. Such revocation will result in automatic termination of USAID's sponsorship of the program, and will render inactive my status in the SEVIS database, unless USAID otherwise agrees in writing. I will notify USAID immediately when I file any claim against the insurance policy and include in such notification the date of the claim, the nature of the claim and copies of all documentation related to the claim. I understand that in many cases, medical conditions existing prior to my Exchange Visitor sponsorship by USAID are not covered by USAID's insurance program.

4. U.S. Income Tax forms/payments: I understand that I must file U.S. Federal or State tax forms as appropriate, in which the sponsoring USAID office or its contractor may assist me. I understand that it is my responsibility to check with my monitoring contractor to see if tax forms are prepared on my behalf.

5. Dependents: I understand that I will follow the policy on participant dependents set by the USAID Mission in my country; that if dependent travel is allowed, USAID provides no funds for dependent expenses; and that I must meet USAID requirements regarding dependents, i.e., show that funds are available in a U.S. bank equal to 50% of my monthly maintenance for each dependent, for each month they are to reside in the U.S., b) my dependents will undergo a medical examination in our home country, c) I will secure medical insurance which includes coverage for pregnancy if appropriate, and d) I will have funds available for the purchase of my dependents round trip tickets. I further understand that, a) my dependents may only travel on a J-2 visa under USAID sponsorship, regardless of the length of their stay in the U.S., b) that cancellation of dependent insurance is grounds for the termination of my USAID-sponsored program, and that c) my dependents may not apply or benefit from any type of U.S. public assistance, i.e., subsidized school lunch programs, public or subsidized housing, or food stamp programs.

6. Allowances: I understand that I may be eligible for certain maintenance allowances, or allowances for other program-related costs, and that the amount of the allowance will be determined by USAID. I understand that I may not accept any outside funds through scholarships, assistantships, or wages, and that if I do receive any financial compensation outside of my USAID allowances, that my monthly maintenance allowance will be reduced accordingly.

7. Termination of a Exchange Visitor Program: USAID reserves the right to terminate the Exchange Visitor program of those participants who: a) change their course of study without prior authorization; b) fail in their studies; c) fail to carry a full-time course of study, unless specific arrangements are made with the monitoring contractor; d) conduct themselves in a manner prejudicial to the USAID Program or to the laws of the country; e) accept any public welfare funds; f) bring dependents to the country without prior USAID approval or violate any of the dependent requirements; g) obtain employment in the United States or other country without prior USAID approval; h) are diagnosed as having mental or physical disease, disability or disorder that will unduly delay or prevent successful completion of the program, or render the participant unlikely to contribute to the home country's development for which the program was designed; and, i) revoke the authorization provided in paragraph 3 above titled "Medical Insurance."

8. Legal Obligations: I understand that USAID will not provide funds for my legal defense, and will assume no responsibility for expenses involved in my operating a motor vehicle, for expenses involving criminal or civil law proceedings related to the operation of a motor vehicle, or for any other civil or criminal action for which I am held responsible for by local, state or Federal authorities. This applies to arrest and detention as well as fines, taxes, legal fees, and lawsuits and medical expenses for injuries sustained as the result of operating a motor vehicle or any other activity.

9. Automobile Ownership: USAID policy prohibits ownership of a vehicle without the prior approval of my sponsoring unit. If I operate a vehicle not owned by me, I do so at my own risk and am personally responsible for:

Determining and complying with all state and local laws, ordinances and requirements of the program locality.
Obtaining all necessary personal, liability and health and accident insurance, and licenses to meet state and local requirements for the operation of a motor vehicle.

Payment of the cost for medical treatment of injuries sustained as a result of an automobile accident.

If I drive any vehicle while under USAID sponsorship, it will be to my advantage to obtain the maximum personal liability insurance coverage available, to cover possible claims against me should I ever be involved in an automobile accident.

Signed:	
Signature of Participant:	Signature of Authorized USAID Official:
Date:	Title:

FOR USAID STAFF ONLY

USAID has conducted a Security Risk and Fraud Inquiry regarding this visitor. The information used in this Security Risk and Fraud Inquiry was:

Name of Authorized USAID Official

Mission/Title

Signature of Authorized USAID Official

Date

Illustrative Indicators for the Community Roots Project

Result 1.1: Treatment communities have developed and are implementing violence and migration prevention plans.

Illustrative Indicators

- Number of community prevention plans operationalized.

Result 1.2: Strengthen communication and interaction between treatment communities and government officials, i.e., municipal authorities, COCODES, police.

Illustrative Indicators

- Percentage of people who express confidence in municipal authorities.

Result 1.3: Increased civic engagement in treatment communities

Illustrative Indicators

- Percentage of people in target communities who indicate that they have participated in community events – disaggregate by type of event, i.e., sports event, religious events, activities to benefit the community, and by population groups, i.e., gender, age.

Result 1.4: Reduction of citizen insecurity in treatment communities

Illustrative Indicators

- Percentage of people who report having been victim of violence in the last three months.
- Percentage of people who report avoiding parts of the neighborhood for fear of violence or crime.

Result 1.5: Increased provision of prevention programming/services in treatment communities.

Illustrative Indicators

- Percentage change in enrollment in services related to gender, gender-based violence and families.
- Percentage change in enrollment of out-of-school youth in services.

Result 1.6: Reduced number of under-aged migration from targeted communities

Illustrative Indicators

- Percentage of households that report having sent children and under-aged youth to the U.S. in the last 12 months

Result 2.1: Establishment of inter-institutional violence and migration prevention commissions to manage prevention resources strategically in target municipalities.

Illustrative Indicators

- Number of treatment municipalities with inter-institutional and multi-stakeholder municipal-level prevention commissions.

Result 2.2: Development and implementation of municipal violence and migration prevention strategies and plans

Illustrative Indicators

- Number of targeted municipalities that have updated and operationalized municipal violence and migration prevention strategies and plans.
- Number of targeted municipal offices that draft and implement a communication strategy to promote violence prevention projects.

Result 2.3: Promote and strengthen community-based policing.

Illustrative Indicators

- Percentage of community prevention commissions in treatment communities with representation from PNC.
- Degree of public confidence in police in treatment communities.

Result 3.1: Increased private sector investment in target municipalities

Illustrative Indicators

- Amount of private funds invested in the implementation of municipal and community violence and migration plans in target municipalities.
- Number of youth from target communities who received private-sector scholarships to attend school.

Result 3.2: Increased job-creation programs with private sector participation.

Illustrative Indicators

- Number of participating youth who find work with participating private sector partner.
- Number of participating youth who develop Small- or Micro-Enterprise.

Result 4.1: Strengthened Secondary Prevention Service Providers in target communities.

Illustrative Indicators

- Number of capacity-building opportunities (trainings, awareness campaigns, briefing materials, etc) for communities, stakeholders, local governments, and service providers on differentiated prevention approaches, medical and psycho-social research for enhanced results in violence prevention.
- Percentage of USG-funded NGO or other international organization projects that include activities or services designed to reduce specific risks or harm to vulnerable populations
- Number of service providers and networks actively engaged within the family support network per community.

Result 4.2: Develop a secondary prevention model that can be utilized by target community stakeholders.

Illustrative Indicators

- Systematization of the secondary prevention experience (including a tool kit that could aid replication of experiences) documented and disseminated.
- Amount of usable baseline data gathered and shared through knowledge management system.
- Level of usability and ease of implementation of secondary violence prevention as assessed through community perception studies.

QUESTIONS AND ANSWERS RFA-520-16-000003 Community Roots Project

SECTION A: PROGRAM DESCRIPTION

1. Can USAID confirm how it defines a “community”? **USAID Response: Article 52, Chapter VIII of the Rules of the Urban and Rural Development Councils Law No. 11-2002 defines communities as the following: Outside of urban areas, communities are the humane nucleus circumscribed in the territorial organization legally recognized with the category of “aldea”. Also, each Community Development Council has as its main objective that the community members who are interested in promoting and implementing participatory policies, meet to identify and prioritize the projects, plans and programs that benefit to their communities. In some cases and with USAID approval, other definitions of community will be considered.**
2. The Community Roots Project will support efforts by the Government of Guatemala (GOG), civil society, private sector and community actors to address the underlying causes of violence and migration in areas that are high source of migration of under-aged Guatemalans outside the Department of Guatemala. The primary unit of attention will be communities and municipalities in order to successfully implement a deep and integrated approach to violence and migration prevention. USAID anticipates direct activities in 8 to 15 municipalities that are selected based on objective criteria proposed by the recipient, and subject to USAID approval. USAID Guatemala is interested in targeting municipalities outside the department of Guatemala that are 1) a source of migration of under-aged Guatemalans and 2) characterized by high levels of violence. Particular attention shall be given to municipalities served by USAID’s Violence Prevention Project (VPP) and not served by the Convivimos Project.¹⁹ Since the Community Roots Project is a demand-driven approach, interventions must be customized and targeted to those actors or entities that demonstrate the greatest potential for effective support. The actors/entities in targeted municipalities should be chosen based on need, potential, and opportunities for leveraging municipal, private sector and national-level investments, as appropriate. Will the activities of Community Roots Project focus only in those municipalities that was served by USAID’s Violence Prevention Project (VPP), or is possible to chose others municipalities (refers to “based on need, potential, and opportunities for leveraging municipal, private sector and national-level investments, as appropriate”)? **USAID Response: Community Roots will target municipalities that are a source of migration and have high levels of violence. Municipalities served under VPP should be given particular attention, but this does not exclude municipalities that were not served under the VPP.**
3. Although the Purpose detailed on page 11 states that the intent of the program is to contribute to GOG and USG objectives of promoting development and decrease violence and migration, elsewhere the focus is described more narrowly as violence, migration and crime prevention and reduction. In particular, on p. 12, the RFA specifies that this program should contribute to IR2 of DO1 (greater security and justice for citizens) and that it will be the main implementing mechanism for IR2. Given the

importance of lack of economic opportunities in driving both violence and migration, and given the integrated and holistic approach called for on page 11 and elsewhere in the RFA, would the Mission be open to approaches that would also contribute to DO2 and DO3 -- Improved levels of economic growth and social development in the Western Highlands, and Improved management of natural resources to mitigate impacts of climate change? **USAID Response: Approaches may include activities related to economic growth and social development but all interventions must have an explicit goal of creating greater security and justice for citizens (DO1) . Please note that DO2 and DO3 have specific geographic focuses that might not apply to this project.**

4. Page 16: As part of Objective 1, the recipient will “[...] establish community-based violence and migration prevention commissions or strengthen commissions where they already exist [...].” Please confirm that the violence and migration prevention will be integrated into commissions, not that separate commissions will be formed for violence prevention and migration prevention. **USAID Response: In the selected municipalities, the recipient must promote the establishment of community-based violence prevention commissions where they do not exist. The assumption of this project is that these commissions through holistic prevention approaches will prevent migration to the US. . In the selected municipalities, the recipient must strengthen existing commissions by integrating theme around violence prevention and/or migration prevention.**
5. Please clarify if the 1:1 contribution requirement under the subgrant fund would apply to all types of subgrants or if there will be differentiation between infrastructure, social or capacity building subgrants as outlined in footnote 15 on page 17 **USAID Response: Please note that this requirement was deleted.**
6. Would it be expected that the cost match generated under the subgrant component will be incorporated into the subgrant fund to expand the fund or could be used to enrich other project activities? **USAID Response: Please note that this requirement was deleted.**
7. Under Objective 2, in the illustrative activities section on pg. 19 the solicitation states: "Establish/Strengthen community-level violence and migration prevention commissions." The same activity is listed on pg. 17 under Objective 1. Is it USAID's intention to state: "Establish/Strengthen municipal-level violence and migration prevention commissions"? **USAID Response: Yes, it is USAID's intention to promote the establishment or strengthening of municipal-level violence and migration prevention commissions under Objective 2.**
8. Page 19: Please clarify if the project will need a waiver to work with the police as part of the community policing activities described under Objective 2. **USAID Response: USAID will obtain the necessary waivers so that our project can work with the National Civilian Police.**
9. Page 20: Objective includes two Illustrative Intermediate Results: 3.1 Increased private sector investment in target municipalities; and 3.2: Increased job-creation programs with private sector participation. Annex 1, page 3, includes one additional result under Objective 3: 3.3 Increased flow of community remittances for economic and social development activities to target municipalities. Please confirm that for Objective 3, the only project results to be addressed are: · Result 3.1 Increased private sector investment

in target municipalities; and · Result 3.2 Increased job-creation programs with private sector participation. **USAID Response: The RFA refers only to illustrative activities and results. Annex 1 is being corrected to reflect the activities included in the Program Description.**

10. Page 21: Under Objective 4, the recipient will “[...] implement secondary prevention approaches in a small number of target communities.” Please clarify if USAID expects piloting of multiple approaches or models, or mapping of multiple models and piloting of one? **USAID Response: The recipient should develop a secondary prevention approach that yields positive results in Guatemala. The recipient is free to choose from existing prevention models implemented in similar settings.**
11. Page 21: Objective 4 includes two Illustrative Intermediate Results: 4.1 Strengthened Secondary Prevention Service Providers in target communities; and 4.2 Develop a secondary prevention model that can be utilized by target community stakeholders. Annex 1, page 3 includes one additional result under Objective 4: 4.2 Increased participation in cultural, community, educational, employment, or sports activities by targeted at-risk youth. Please confirm that for Objective 4, the only project results to be addressed are: · Result 4.1 Strengthened Secondary Prevention Service Providers in target communities; and · Result 4.2 Develop a secondary prevention model that can be utilized by target community stakeholders. **USAID Response: The RFA refers only to illustrative activities and results. Annex 1 is being corrected to reflect the activities included in the Program Description.**
12. Can further clarification be provided on the likely standards and protocols for geospatial to enable us to estimate the level of effort required to provide this data? P.22 **USAID Response: The standards and protocols are not yet available but will be made available to the recipient when available.**
13. Section 5. Geospatial Information on pg. 22 states: “The selected recipient that creates geospatial data under this award will be required to submit data layers to the USAID/Guatemala's Agreement Officer's Representative.” Is the creation of geospatial data a requirement under this award? **USAID Response: Yes, USAID requires the creation of geospatial data under this award.**
14. Page 24: The NOFO states that “As pertinent and depending on the selected municipalities, the recipient will be required to coordinate activities at the local level with other UDSID partner, particularly those working the Western Highlands Integrated Program (WHIP).” Later on page 24, the RFA states that “The project will be one of the more than 20 existing USAID/Guatemala implementing mechanisms under WHIP.” Please clarify if the applicant should work solely in the Western Highlands, work in both the Western Highlands and outside of the Western Highlands, or not work in the Western Highlands at all but coordinate with WHIP programs. **USAID Response: The recipient should work in both the Western Highlands and outside of the Western Highlands, depending on which municipalities are selected based on migration and violence.**
15. Would USAID consider municipalities in the Western Highlands? **USAID Response: The recipient should work in municipalities inside and outside the Western Highlands, depending on which ones are selected based on migration and violence.**

16. Is USAID open to the implementation of pilot projects that would be tracked (besides as already stated under Objective 4) and from which lessons can be learned and applied over the course of the project? **USAID Response: Yes, USAID will be open to that possibility.**
17. Will USAID consider the allocation of funding to support applied research in order to illuminate critical aspects of these challenges, as well as to build the capacity of local research organizations to address these issues? **USAID Response: Yes.**
18. In regards to gender-based violence, is the Mission open to a more systemic approach that takes into account the multiple forms of violence between men, women, youth and children of both genders? **USAID Response: Yes, USAID is invested in preventing and responding to GBV and welcomes new approaches to achieve this goal.**
19. USAID specifies the age range for secondary prevention services as youth ages 8-17. Would USAID confirm the age range for other youth-related interventions? **USAID Response: USAID generally defines youth as between the ages of 10-29 (see USAID Policy: Youth in Development. 2012). However, this project is targeted to youth ages 8-17.**
20. In previous USAID Forecast Q&A pertaining to this opportunity, the following was stated: "It is not expected that Community Roots will have any overlap with any of the 30 Western Highlands municipalities implementing the Communities Leading Development (CLD) Project, since none of those have high homicide rates." To confirm, is USAID still advising that municipalities participating in the CLD project should be excluded from the Community Roots Project? **USAID Response: USAID does not advise that all municipalities participating in the CLD Project be excluded from Community Roots. Targeted municipalities for the Community Roots Project should be those outside of Guatemala Department with high levels of violence and/or high levels of migration to the US. Applicants should justify their proposed municipalities based on the stated criteria.**

SECTION B: FEDERAL AWARD INFORMATION

Substantial Involvement

21. Page 28: Substantial Involvement. "Agreement Officer approval is required for the Grant manual, for all sub-grants and for the Rapid Response Fund Manual." In order to facilitate an efficient grant-making process, would USAID consider revising this clause to require AO approval only for grants above a certain threshold, e.g. \$50K? **USAID Response: Refer to Page 28, section B.3 Substantial Involvement, item c.4; the Agreement officer will approve any subaward above the simplified acquisition threshold.**

SECTION C: ELIGIBILITY INFORMATION

Eligible Applicants

22. I am inquiring about the eligibility of a public international organization (PIO) to apply to the NOFO RFA-520-16-000003. **USAID Response: PIOs can apply to the NOFO; however, PIOs must comply with all the requirements of this NOFO. The resulting award will be administered as specified in page 54, section 2.**
23. Can a non-US NGO apply as the Prime institution to perform the Project? **USAID Response: Yes, this NOFO is open to U.S. and non-US organizations.**
24. U.S. and non-US organizations may participate under this NOFO. USAID welcomes application from organizations which have not previously received financial assistance from USAID. Is this RFA open for any application if comes from organizations which have previously or actually received financial assistance from USAID? **USAID Response: Yes, but it is also open to organizations which have not received USAID awards in the past.**
25. Is this RFA open for only one organization or also accepts a Consortium of organizations? **USAID Response: This NOFO is also open for consortiums. Refer to Section D.5.h for additional requirements.**
26. To ensure that the most qualified Guatemalan individuals and organizations have unlimited ability to participate in the CRP once awarded, will USAID please confirm if applicants should request non-exclusive letters of commitment from Guatemalan key personnel and partner organizations? **USAID Response: There is no requirement to request non-exclusive letters of commitment from any of the proposed key personnel candidates or partner organizations. However, personnel and partner organizations can participate in more than one application.**
27. Please clarify if organizations should ask candidates to include language around exclusivity in their letters of commitment. **USAID Response: See response to question No. 26.**

Cost Share

28. Please can you clarify language over cost-share and leverage on page 30 and 53 under the cost sharing paragraph. **USAID Response: Leverage is not required under this NOFO. USAID has established a suggested cost share of 15% for the recipient of the award. The leverage requirement of page 17 is being deleted since it was included by mistake.**

Partner Vetting

29. When do we have to send the Partner Information Form for the Vetting Process? **USAID Response: USAID will request this information once the apparently successful applicant is identified.**
30. How do we know which of our partners in the consortium must fill the Partner Information Form? **USAID Response: USAID requires information on all "key individuals." Key individuals are principal officers of the organization's governing**

body, and the principal officer and deputy principal officer of the organization, as well as the Chief of Party, or Country Director, and any other person with significant responsibilities for administration of USAID financed activities or resources. All key personnel need to be vetted. We will send additional information on the vetting procedure once the apparently successful applicant is identified.

31. Please confirm that the Partner Vetting requirement includes “direct vetting” of partner organizations and no other form of vetting, i.e. partner organizations will be required to submit their own information into the system, not the prime. **USAID Response: In normal circumstances, the Prime collects the information about each key individual from its subs and enters them in the system. Direct partner vetting is, however an option, but requires that each sub creates an account and enters its own information in the system.**
32. Can USAID please confirm how many tiers of sub-awardees will be subject to vetting for the Partner Vetting Pre-Award Requirement? Will any other project participants be subject to vetting (ie. vendors, beneficiaries)? **USAID Response: The vetting applies only to the first-tier and second-tier organizations, beneficiaries and vendors are not subject of vetting.**

SECTION D: APPLICATION AND SUBMISSION INFORMATION

Application Submission Procedures

33. Page 34 of the RFA outlines Application Submission Procedures. Please confirm that for electronic submission, an email to guatemalaproposals@usaid.gov will be sufficient and that uploading to Grants.gov is not required. **USAID Response: Yes, applications should be sent to the email specified in the RFA. There is no need to upload the applications to grants.gov.**
34. Can USAID clarify if each individual hard copy original and copy for the Technical Application and Cost Application is to be submitted in its own envelope? **USAID Response: Yes, this is permitted.**

Technical Application Format

35. Page 35 of the RFA notes that the Technical application must not exceed 40 pages. Please confirm that the Executive Summary does not count toward the 40 page limit. **USAID Response: An executive summary is not required for the technical application, if the applicant decides to include an executive summary it will be counted toward the 40 page limit.**
36. Page 35: “Technical Application must not exceed 40 pages, excluding cover page; acronyms list, table of contents, and annexes.” Please confirm that the Executive Summary is also excluded from the 40 page limit. **USAID Response: See response to question No. 35.**
37. Page 35 of the RFA details how the Technical application should be organized, and lists the Technical Approach separately from the Results Framework and Logical Framework

which comprise Annex A. However, Page 37 of the RFA states that “the technical approach should include a results framework and logical framework [...]”. Please confirm the following:

1. The Results Framework and Logical Framework are two separate documents.

USAID Response: No, it is only one document that contains the results framework which is based on the logical framework.

2. The Results Framework and Logical Framework should be included in Annex A, not the Technical Approach with the 40-page limit. **USAID Response:** It should be included as part of the annexes and it can be referenced in the technical approach.

38. In section D. II. Technical Approach on page 37 the solicitation states that the technical approach section should include a results framework, a logical framework, a communications strategy and a draft M&E plan. All of these elements are also listed as annexes on page 35. Is it USAID's intention that all of these elements be included in the body of the technical approach as well as in annexes? **USAID Response: These documents should be only included as annexes; however, applicants may reference these documents in the body of the technical approach.**

39. Would USAID permit the inclusion of a cover letter exclusive of the page limit? **USAID Response: No, the cover letter counts toward the page limit.**

40. Would USAID clarify if the Management and Staffing Strategy is included in the 40 page technical application limitation? **USAID Response: Yes, it is included in the 40 page limitation.**

41. Page 36: Annexes include “[...] position description for proposed technical and administrative staff managing the project [...]”. Please clarify if position descriptions should be provided for all project staff or only key. **USAID Response: This information should be provided for all project staff.**

42. Page 35 states that “The annexes may not exceed a total of 40 pages.” If position descriptions are required for all staff, would USAID consider increasing the annex page limit to 45 pages? **USAID Response: No**

43. Would USAID clarify if the Draft M&E Plan is to be included in the Technical Approach or as a Technical Annex? **USAID Response: The Draft M&E Plan should be submitted as an annex (see page 35).**

44. On page 41, under III. Management and Staffing, Part b. Key Personnel, it lists for the Communications Specialist that the “Candidate must submit a writing sample in English and Spanish.” Is this something that is submitted with the proposal? If so, what is the required length of the writing sample? **USAID Response: Yes, this document should be submitted as part of the technical application and it counts toward the 40 page limit for annexes. The required length is one page each.**

45. On page 42 of the solicitation, USAID states that, “The applicant must provide a biographical sketch and position description for the proposed staff.” Could USAID please confirm that CVs should be submitted for Key Personnel in lieu of a biographical sketch? **USAID Response: Applicants are required to submit CVs for key personnel.**

Additionally applicants are also required to submit position descriptions for all technical and administrative staff managing the project.

46. Page 42: The NOFO states that the Communications Specialist candidate “must submit a writing sample in English and Spanish.” Can USAID please confirm that this writing sample is not included in the two page curriculum vitae page limit and the 40 page annex page limit? **USAID Response: This document is included in the 40 page limit for annexes.**
47. On page 42 of the solicitation it specifies that candidates for the Communications Specialist position “must submit a writing sample in English and Spanish.” Can USAID confirm that this to be submitted only to the applicant for review and does not need to be submitted as part of the proposal? If it is required to be submitted as part of the proposal, can USAID please confirm that the sample is exclusive of the Technical Annex page limit? **USAID Response: This document should be submitted as part of the technical application and it counts toward the 40 page limit for annexes.**
48. Page 42: The NOFO states that “[f]or proposed Key Personnel who are non-native English speakers, the annex must include proof of English fluency through a score or certificate of a recognized test such as Test of English as a Foreign Language (TOEFL) or the Michigan test.” Due to expenses and timing of when tests are offered, would USAID consider requiring this proof upon award? If USAID will not shift this requirement to upon award, please confirm that the proof of fluency documentation is not included in the two page curriculum vitae page limit and the 40 page annex page limit. **USAID Response: This information should be submitted as part technical application and will be counted toward the 40 page limit.**
49. On page 42 of the solicitation, USAID states that, “The Applicant is required to present resumes/curriculum vitae for proposed staff and ensure that the proposed personnel will, in fact, be available to staff the project should the applicant be selected for award. Failure to provide such assurances and letters of commitment may disqualify the applicant from being considered for award.” Could USAID please confirm that this refers only to proposed Key Personnel? **USAID Response: Yes, letters of commitment are only required for key personnel, refer to page 36.**
50. How many past performance references must the applicant provide? Can the applicant include past performance references from subcontractors? **USAID Response: The applicant must include demonstrated recent and relevant references; there is not a set number of references. The applicant may include past performance references from subcontractors. Please refer to section D.4 of the NOFO.**
51. On Page 43, the communications strategy and Institutional Capacity and Past Performance are required additional information in the technical application. However, the technical evaluation criteria on Pages 51 and 52 do not refer to either of these under the Technical Approach or the Management and Staffing Plan. How will these be scored in the evaluation? **USAID Response: No points are assigned to the institutional capacity and past performance. Nonetheless, this information will be evaluated as part of the pre-award risk assessment.**

Cost Application Format

52. Page 46: The Summary Budget includes a sub-grants plug figure of \$17,850,000. Considering that the combination of the sub-grants and rapid response fund total is more than 57% of the total award value, please confirm that applicant may propose an amount lower than \$17,850,000 for sub-grants. **USAID Response: No, these are plug figures; applicants may not propose lower amounts.**
53. Is the amount of \$17,850,000 for sub-grants included in the summary budget on page 46 indicative or prescribed? Does this amount also include sub-grants to partners? **USAID Response: Applicants are required to reserve \$17,850,000 for sub-grants. Recipients of these sub grants will depend on the approach proposed by each applicant.**
54. Considering the amount of the Sub-grant plug figure relative to the total award value, may applicants include costs for proposed implementing subawardees within the sub-grants figure and allocate the remaining funds to the sub-grantee activities? **USAID Response: Applicants are required to reserve \$17,850,000 for sub-grants. Recipients of these sub grants will depend on the approach proposed by each applicant.**
55. Page 46: The Summary Budget includes a Rapid Response Fund plug figure of \$5,000,000. Please confirm that the applicant may propose a figure of less than \$5,000,000 for the Rapid Response Fund. **USAID Response: No, this is a plug figure. Applicants may not propose a lower figure.**
56. Small scale construction refers to construction or repair of facilitates where the total surface area of the disturbed environment is under 10,000 square feet and less than \$200,000 total cost. Per Mandatory Reference for ADS 303 entitled "USAID Implementation of Construction Activities", the construction activities under this project are only a portion of all award activities and :1) The estimated cost of construction activities at a single project site is less than \$500,000; and 2) The aggregate estimated cost of construction activities under the resulting award is less than \$10,000,000. Which is the possible total cost in construction activities? Is this construction activities cost included in the \$40 million or is provided from additional fund? **USAID Response: Total cost for construction activities is subject to the approach proposed by each applicant. The cost for construction activities is included in the \$40 million.**
57. On Page 46 in the Summary Budget, a separate line item is listed for Construction. Is it anticipated that part or all of Construction related expenses will be within the Sub-grants fund, or will these be separate costs from Sub-grants under Community Roots? **USAID Response: Construction related expenses will be separate from sub-grants.**
58. Please provide the full Local Compensation Plan and FSN scale for Guatemala. **USAID Response: Pursuant to the most recent local compensation plan, dated January 1, 2011, the following table includes the minimum and maximum annual basic compensation paid (base salary) for different professional levels:**

Professional level	Minimum annual basic rate	Maximum annual basic rate
Clerical staff	Q34,703	Q147,407
Administrative staff	Q133,375	Q301,125
Professional [low level]	Q230,914	Q357,922
Professional [mid level]	Q310,769	Q481,697
Professional [high level]	Q354,093	Q548,841

USAID cannot however provide its local compensation plan since it is an internal document.

59. Should NICRA be charged on the \$5 million Rapid Response Fund or is it assumed that NICRA is included within the \$5 million? **USAID Response: Yes NICRA (indirect costs) should be charged on the \$5 million Rapid Response Fund.**

60. Can USAID confirm what cost annexes are required for major sub-awardees included in our proposal? **USAID Response: Detailed budget, budget notes and NICRA (if applicable).**

61. Would USAID permit submitting budgets for only major sub-awardees, and not minor sub-awardees? **USAID Response: Applicants must submit budgets for all the proposed sub grants.**

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

Participant Training

62. Page 55: Participant Training. Please provide the referenced USAID/Guatemala Mission Order 253. **USAID Response:** This Mission Order is being included as Annex A to this NOFO amendment.

Earmarks and Funding Sources

63. Page 56: Earmarks and Funding Sources. Please confirm that the Recipient will only be required to report against the budget embedded in the schedule of the Cooperative Agreement. **USAID Response: Yes**

64. Page 56: Please provide an example/template for the “financial report detail of the funding available and utilized according to each specific earmark.” **USAID Response:** USAID does not have any specific template for these type of reports, each project develops its own formats based on its specific needs.

Value Added Tax

65. Page 57: Value Added Tax. As title to property is listed as Recipient title in the NOFO, please provide further details on the procedure described herein with regards to project vehicles titled to USAID/Guatemala instead of the Recipient. **USAID Response: USAID will support the customs clearance of official project**

vehicles. These vehicles will be cleared free of duty and IVA and will be titled to USAID/Guatemala with MI licence plates, refer to Section F.7 and F.8 of the NOFO for additional information.

Recipient's Staff Support, Administrative and Logistics Arrangements and Legal Registration in the Cooperating Country

66. Do non-US NGO need to register in Guatemala before the award notification? **USAID Response: US and non-US organization need to register in Guatemala. If it is not possible to complete this process before award, the registration process should be completed during the first year of project implementation or sooner. Costs associated with this registration process should be included as part of the applicant's overhead costs since these are considered cost of doing business. Refer to Section D.5.h of the NOFO for additional information.**

Reporting Requirements

67. Page 62: Annual Work Plans. The work plan should include "International travel plan for the year." Would USAID remove this requirement as prior approval for international travel is no longer a requirement based on current Standard Provisions? **USAID Response: This requirement has been deleted.**

SECTION H: OTHER INFORMATION

68. Annex 1, page 2: The illustrative indicator for Result 1.6 is "Percentage of households that report having sent children and under-aged youth to the U.S. in the last 12 months." Could USAID confirm that the project is only expected to address migration of youth to the U.S. and not movement within Guatemala from rural to urban settings? **USAID Response: Yes, this is correct.**