



USAID | SENEGAL

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Response to Questions due: December 21, 2021
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Subject: Notice of Funding Opportunity Number:
72068521RFA00016

Program Title: USAID/Senegal Transparency and
Accountability in the Extractive Sector
(TRACES)

Federal Assistance Listing Number: 98.001

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified entities to implement the TRACES program. Eligibility for this award is not restricted. USAID intends to make an award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of program sought, application submission requirements and selection process.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the NOFO has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.6.f. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

Please send any questions to the point(s) of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,
**JAIME LEMAR
DOMINGUEZ**
(affiliate)

Jaime Dominguez
Deputy Director
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SECTION A: PROGRAM DESCRIPTION

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID’s supplement, 2 CFR 700, as well as the additional requirements found in Section F.

1. Introduction

The goal of this four-year activity (Transparency and Accountability in the Extractive Sector) is to increase transparency and accountability mechanisms in the mining, oil, and gas sectors for better revenue management and distribution. The design of this activity is the result of an assessment of the current state of transparency in the extractive sector in Senegal¹, with a focus on the oil and gas sector, given its anticipated significance for the country’s economy. It is expected that the recent discovery of abundant reserves of oil and gas combined with the significant deposits of mineral resources have the potential to launch Senegal into the category of resource-rich country by 2035, as envisaged by the “*Plan Sénégal Emergent*”. It is estimated that these resources would lead to a major transformation of Senegalese economy with a macroeconomic impact and an increase of the GDP. So, this is a unique opportunity to enhance Senegal’s self-reliance while improving and promoting transparency in the extractive resource sector in line with the “Extractive Industries Transparency Initiative” (EITI) standards and practices². However, the country faces governance challenges, especially to ensure *inclusive growth* using extractive industry revenues to reduce poverty across the country. Transparency is an important tool in achieving inclusive growth. The Senegalese government appeared committed to transparency, with the example of the adoption of the code of transparency³, the current Public Financial Management (PFM) reform⁴, and the “satisfactory progress” score for its EITI country submission. However, despite having taken important steps, a considerable number of reforms have yet to be implemented. This activity is seen as a determining factor for fostering citizens to hold governments and the private sector accountable, identify institutional and regulatory shortcomings, and enhance efficiency in the use and allocation of public resources. It is included in the DRGP PAD amended on June 25, 2019. It will be connected and will closely collaborate with current and upcoming DRGP activities such as GoLD⁵, Kawral⁶, the PFM award, and the Power Africa activity in the energy sector. Civil society organizations (CSOs) and the media are key players in this approach of accountability going beyond transparency. They will be, in addition to the national Committee of EITI and community leaders, the target groups for the capacity building support activities.

¹ Transparency in extractive industries report

² EITI is a global standard for the good governance of oil, gas, and mineral resources. It seeks to address key governance issues and requires information along the extractive industry value chain from the point of extraction, to how the revenue makes its way through the government, to how it contributes to the economy. This includes how licenses and contracts are allocated and registered, who are the beneficial owners of those operations, what the fiscal and legal arrangements are, how much is produced, how much is paid, where are those revenues allocated, and what is the contribution to the economy, including employment.

³ Loi No 2012-22 du 27 Decembre 2012 portant code de transparence dans la gestion des finances publiques.

⁴ Directive 06/2009/CM/UEMOA du 26 Juin 2009/ Loi organique 2011-15 relative aux lois de finances.

⁵ Governance for Local Development

⁶ Support civil society to advocate for more mining revenues allocated to improve services delivery for local communities

2. Program Description

The proposed activity will focus on promoting transparency and accountability in the extractive sector as key factors of better revenues management and distribution, and sustainable development outcomes. In line with the Journey to Self-Reliance (J2SR) and particularly the Financing Self-Reliance (FSR) and the New Partnership initiative (NPI), this activity aims at promoting extractive revenues management in an accountable, transparent and effective manner to support development priorities and community's needs through increased CSO and media oversight and engagement.

2.1. Background and Problem Analysis

Senegal is endowed with natural resources and has an extensive extraction history. Its phosphate industry began in the 1940s and 50s, with the opening of two phosphate mines in the Thiès Region. Recently, the sector has started seriously contributing to Senegal's economy. In 2004, Sabodala was established as the first formal gold mine in the Kédougou Region, with other companies following suit. Other significant mining activities include titanium and zirconium extraction under the Grande Côte mineral sands project in the Thiès Region, which started production in 2014.

After more than 60 years of exploration in the oil and gas sector, the picture changed dramatically in 2014, when Cairn Energy announced two consecutive exploration successes in deep sea areas, referred to as "blocks." Kosmos Energy followed this in 2015 with the announcement of a discovery of major gas reserves.

Over the past few years, the proportion of the mining sector in total GDP has turned around 2.5% with a potential to increase. The International Monetary Fund (IMF)⁷ estimated that fiscal revenues from oil and gas sectors would average about 1.5 % of GDP over a 25-year period and about 3% of GDP when production peaks. However, the increase in economic growth would be higher than just the direct effect of the production itself because it will drive a chain reaction on supplying industries. Those forecasts are disrupted by the uncertainty regarding the spread of Covid-19 pandemic in Senegal and around the world. According to PETROSEN⁸, the coronavirus outbreak increases risk aversion from investors who may invoke a Force Majeure defense due to risks caused by global supply chain disruption. Certain oil and gas companies announced possible delays in production of first barrels from 2021 to 2023. Some specialists think that this situation will have a downside risk for short term growth in Senegal. For others, this delay is not good for the country's financial equilibrium, but it will allow Senegal to gain time to better think about the integration of oil and gas revenues into its economy. This aspect is of interest for the proposed activity. Whatever the situation, the challenge remains to turn this wealth into broad-based and equitable socio-economic development and transformation for Senegalese citizens. The EITI states that "transparent management of Natural Resources (NR) and accountability in extractive revenues can contribute to the economic growth of a Country". As a demonstration of the country's commitment to adhering to the principles and standards of the EITI process, Senegal

⁷ International Monetary Funds

⁸ société des pétroles du Sénégal

formally joined the international association in 2012. Since joining the EITI, Senegal has consistently received an overall annual grade of satisfactory for implementing such as publishing reports and disclosing tax revenues.

The DRGP research findings⁹, conducted in accordance with the approach used by EITI to assess the state of governance along the extractive sector value chain stages, revealed a critical lack of transparency and a set of issues and challenges that hamper the receipt of full benefits from the presence of extraction resources. Although Senegal has been implementing the EITI Standards, the fact remains that progress in terms of transparency is very slow. This situation is mainly due to a lack of independent, capable and strong oversight mechanisms or civic groups that can effectively demand accountability and influence the management and distribution of extractive revenues for development priorities. Effective oversight requires an enabling environment, and resources and skills which these groups often lack. The set of challenges and concerns that weaken transparency and an independent oversight group are listed as follow:

- **Weak law and regulations enforcement** particularly when it comes to distributing the proceeds from social and economic development funds generated by revenues from a percentage of sales of the minerals, oil and gas extracted.
- **Absence of a publicly accessible metered system** for tracking, documenting and reporting actual quantity of natural resources extracted.
- **Lack of resources and expertise for Civil Society Organizations (CSOs) and media:** the advocacy and influence role the CSOs and media could play is weakened by limited knowledge and poor understanding of how transparency can contribute to safeguarding their own interests.
- **Deficiency in technical and financial capacity and systems:** Senegal administration lacks infrastructure for producing an effective and appropriate information system that can provide user-centered information to the public in a timely, disaggregated, reliable, and relevant manner.
- **Lack of information exchange and coordination framework** between central government authorities and local actors; local and regional authorities are left uninformed. For example, the governors and mayors have limited power over decisions in the extractive sector, whereas their relationships with the technical units and private companies are purely functional, not hierarchical.
- **Weak understanding of community rights by citizens,** social and environmental requirements from the companies and the State
- **Insufficient autonomous and strong entities or mechanisms for oversight** and transparency to make sure extraction revenues are wisely and effectively invested in projects that generate growth and produce benefits for communities
- **Risk of resource curse:** Corruption is often a mix of poor governance and rising flows of extractives-based revenue in many developing countries.

USAID/Senegal's next Country Development Cooperative Strategy (CDCS) finalized before the end of 2020, is focused on helping Senegal better plan, finance, and carry out solutions to its development challenges by: implementing key reforms; actively engaging with a strengthened

⁹ Transparency in extractive industries report. 2019

private sector and a vibrant civil society; and harnessing the potential of women and youth." "The Activity will contribute to one of the planned Development Objectives of the new CDCS, which is to improve Government of Senegal (GOS) effectiveness and accountability by improving government capacity to transparently and equitably manage extractive resources." The recipient should submit a strong technical document, in line with this expectation, that shows a clear understanding of the main issues identified above and provide a sound approach and implementation plan demonstrating its ability to strengthen civil society and media capacity and influence, and to work collaboratively with key stakeholders to advance transparency policy and practices.

2.2. Geographic focus

It is anticipated that activities will focus at both central and local levels. Part of the key illustrative activities are policy reform and national advocacy driven. The recipient will spend time and effort working with key stakeholders, collaborating with experts and academics, and holding regular meetings with other counterparts and partners. Those types of activities will occur at the central level, particularly the capital city where most of these actors are located. However, knowing that mining and oil and gas exploitations are in the countryside, far from Dakar, specific activities will be conducted "in siti". So, to address community rights and needs, and better approach local authorities and companies, localities or regions where extractive companies are operating will be targeted. The regions of Thies (Kayar, Diogo), Kedougou (Sabodala), St. Louis, Matam, and Fatick (Iles du Saloum) will be the zones of intervention of the program at the local level.

2.3. Summary of relevant USG and donor activities

The U.S. Government is partnering with the Senegal State to promote prosperity, strengthen democratic values, human rights and governance, and human capital. Among the panoply of support provided by the American government through USAID development assistance, certain programs have similarities with this application. In the economic growth sector, the component of Power Africa program supporting the "Conseil national de Regulation de l'Electricite" (CNRE) to hold open dialogue with civil society and the private sector for addressing the issue of transparency in the sector of electricity is complementary to this program. In the DRGP sector, the "Governance for Local Development" (GoLD), "Kawral," and the upcoming PFM activity are all addressing the issues of effectiveness and transparency in the management of public resources, and are in coherence and connection with the transparency in the extractive sector.

The World Bank (WB) provides a \$29 million in development aid credit to Senegal to strengthen the country's institutional capacities to negotiate complex agreements in the extractive industries. This technical assistance from the World Bank will help ensure Senegalese oil and gas development projects take place in an environment conducive to private sector investments aligned with the public interest, engage effectively with citizens and other key stakeholders on issues relevant to gas and oil development projects. The African Development Bank (AFDB), while prioritizing renewable energy, attaches importance to fossil fuels which constitutes a significant part of the overall energy mix investment in Senegal.

Beside the institutional donors, Oxfam International is partnering with local civil society organizations to advocate for more transparency and public participation in the management of the extractive sector. Those programs have common interests engaging with stakeholders and citizens

in the petroleum sector, around the use of Environmental and Social Assessment reports. These activities are windows of opportunities where USAID could partner and leverage resources and efforts to be more impactful.

2.4. Lessons Learned

The DRGP office supported a strengthened civil society, citizen engagement and participation in public policy formulation or reform, budget transparency with significant progress, as well as lessons learned.

- **Transformational leadership:** Developing civic actors' leadership skills and organizational system and network is critical for fostering collective actions that make the difference and improve their influence in public policy making. The achievements reached through Parliamentary Assistance and Citizen Engagement" (PACE) and "Sunu Budget" programs in building relationships and establishing a dialogue framework between citizens and government officials are examples of transformational leadership.
- **Acceleration of policy reform or decision-making process:** Policy and legal reforms take time when they stay with bureaucratic procedures and officials' hands. And when they are complex and difficult to implement, only advocacy works, media and public opinion can influence the acceleration of the process or their enforcement.
- **Liaison between group interests and sector of activities:** Understanding their direct interests in a specific sector makes citizens more engaged and more determined to demand accountability and the respect of their rights.

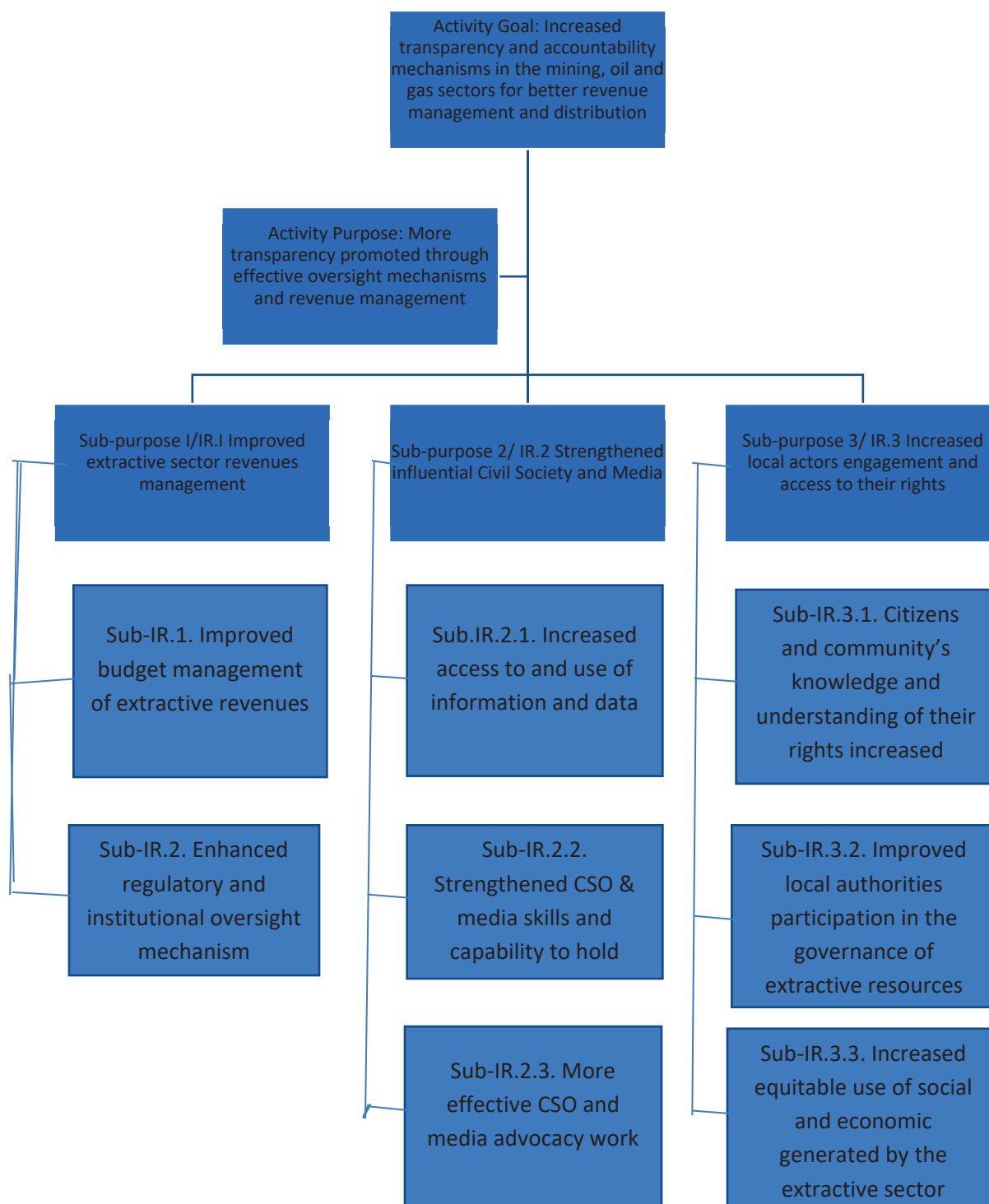
2.5. Logical framework and intended results

The overall goal of the "Transparency and Accountability in the Extractive Sector" (TRACES) activity is: Increased transparency and accountability mechanisms in the mining, oil and gas sectors for better revenue management and distribution. The specific purpose is to promote more transparency of extractive revenues management and distribution through improved oversight mechanisms (particularly independent CSO and media, and eventually the CN-EITI) that have the capability to monitor extractive revenues management and distribution, advocate for community's rights and hold the government accountable. The rationale is that Senegalese citizens can't fully profit from their own resources if they don't have the capability to monitor extractive revenue management and distribution and demand accountability from the government and companies, if the power of influence of CSO, media and community is weak and if the flow of information is not accessible to the wider public. The good governance of natural resources is conducive to an enabling environment towards effective management of resource wealth and the achievement of Senegal's development objectives reflected in the Senegalese Development plan (PSE). In this vein, the development hypothesis is articulated as follows:

- If the extractive sector revenue management is improved;
- If civil society, media and independent oversight mechanism capacity and influence is strengthened;
- If local actors' engagement and access to their rights are increased;
- Then transparency and accountability in the management and distribution of extractive revenues will be increased.

2.5.1. Logical framework

The table below describes the logical framework that governs the proposed Activity.



2.5.2. Expected Results

2.5.2.1. Improved extractive revenues management

2.5.2.1.1 Improved budget management of extractive resources

The transparent and accountable management of revenue from the extractive industry forms an important basis for improved governance, citizens trust and resources allocation. In the extractive value chain, revenues transparency should not only focus on the collection of taxes and royalties, but also include effective fiscal frameworks. It is critical that revenue from the extractive sector transits through the budget and be transparently presented within the GOS and to the public. The adoption of a national accounting system could allow better traceability of the recovery and a clear reconciliation of the data produced by the financial boards and assigning accountants.

The Office of the Auditor General, in accordance with the code of transparency, has pledged for the adoption of a national accounting system allowing a better traceability of the recoveries and a clear reconciliation of the data produced by the financial boards as well as the assigning accountants; the establishment of an integrated system capable of delivering pertinent statistics of the extractive sector instantly; and the creation of an integrated system within the relevant services to facilitate the monitoring of fiscal obligations and taxes due by extractive companies. USAID/DRG is seeking, beside this proposed Activity, to improve the Public Financial Management (PFM) system through another mechanism. The selected implementing partner should leverage efforts and resources with the potential awardee of the Public Financial management activity and other donors to address this issue towards improving the budget management system with a focus on the traceability of extractive revenues and maximize results in this domain.

2.5.2.1.2. Enhanced regulatory and institutional oversight mechanism

The extractive industries can only operate profitably and produce benefits for communities when sound and secure institutional and regulatory environments are in place and adhered to. Once in place, these institutions can ensure compliance with citizens' rights, and environmental safeguards. Among the oversight and regulatory bodies in Senegal, the National Committee (CN) of EITI is specialized in monitoring and overseeing the extractive industries sector. The Permanent Secretary (PS) composed of professionals and led by a national coordinator performs under the supervision of a Multi-Stakeholders Group (MSG) comprising representatives of government agencies, civil society and private companies. Every year, it produces a report that reveals processes and practices of extractive sector operations and fiscal payments provided to the government through a reconciliation approach between what has been declared by companies and what the government treasury has received. When CN-EITI reports underline concerns related to extractive resources management, the MSG is a platform where varying interests can discuss possible remedies, pressure the relevant agency or company to respond and monitor progress. The recipient shall establish a strong partnership with the EITI Permanent Secretary in order to facilitate cross-stakeholders dialogue and develop alliance towards improved legal reform and implementation, and good practices. This partnership may lead to a sub-grant that addresses key issues pertaining to the effectiveness of this institution and the role of Civil Society within the MSG.

2.5.2.2. Strengthened influential civil society and media

Civil Society Organizations (CSOs) and media are instrumental in monitoring the sector, seeing what's going on, preventing and denouncing mismanagement or corruption, and ultimately ensuring that natural resource extractives generate growth and development outcomes. However effective engagement and oversight require getting access to reliable data and information, having appropriate skills and resources and being able to take concrete actions to influence any process that may interest the extractive sector transparency and accountability.

The government's approach to monitor the operations and ensure distribution of resources to specific sectors or communities is a factor of effective management. Both civil society organizations, legislators, and local governments lack the tools to effectively monitor the collection and use of revenue from the extractive sector.

2.5.2.2.1. Increased access to and use of information and data

Access to information is critical for enabling citizens to exercise their opinion and hold the government accountable and to enter informed dialogue about decisions which affect their lives. Contribution to good governance of access to adequate data lies both in the willingness of the government to be transparent, and the ability of citizens to demand and use information. Both of which may be constrained in low capacity settings. Capacity of public bodies to provide information may be weak and officials may be unaware of their obligations vis-à-vis citizens. Structural barriers such as lack of access to the internet in remote areas and technicality of data could prevent poor people, communities, and citizens in general from accessing and using information even if it was available. Another major issue that arises is confidential practices or the lack of publication of the various oil and mining licenses and contracts. That's why it is fundamental for CSOs and Media to develop a strategy or approach that provides guidance and enables them to identify, understand and discuss data in response to the priorities and concerns of different stakeholders, particularly citizens, women and communities.

Questions that may be of interest to citizens: are company payments correct, received by the government and used to benefit citizens? What portion of revenues is a specific community supposed to get from an extractive company operating in each region? Is there any suspicion of corruption, unfair contract, unpaid taxes and environmental and social fees, are contracts signed or licenses issued in consideration of national interests?

The access to information depends, first, on the disclosure and availability of data for the public. Through reports or other channels providing qualitative information and quantitative data. USAID/DRGP expects from the future awardee to prioritize providing citizens access to reliable and comprehensive information and data relevant to the extractive sector and its oversight. Having access to easy to use data will make citizens and CSOs better able to take advantage of opportunities for participation and accountability and use existing mechanisms that allow them to analyze, provide feedback, open discussion with the government or companies, and/or develop an advocacy strategy (including wide dissemination of data and response, mass mobilization) to push pressure on decision-makers for taking action. Improving the quality, and frequency of data available to the public will also help manage expectations for both government officials and the general public who may have unrealistic expectations regarding access to wealth, employment and

other public benefits associated with the extractive sector.

2.5.2.2.2. Strengthened CSO and media skills and capability to hold the government accountable

CSOs in the extractive sector in Senegal are advocating for a more inclusive and transparent governance of natural resources. Since this sector is complex and difficult to penetrate, they should strengthen their capacity to be heard and influential. Effective oversight requires skills and resources which organizations and media often lack, but with the right support, people can take action to monitor what's going on, prevent mismanagement and advocate for citizens' rights. The capacity strengthening support might have a correlation with the main roles CSOs and media are intended to fulfill. Groups of CSOs including Non-Governmental Organizations, Faith-Based Groups, Academics, Community Based-Organizations (CBOs), and Media play an instrumental role in transparency by:

- Collecting, disseminating and using information and data,
- Setting a public agenda which can influence resource allocation and public investment.
- Representing citizens' voices and marginalized actors in the decision-making process.
- Monitoring and influencing public and private actors' adherence to the agreed rules, laws, policies, and cultural practices when it comes to fair natural resource management.

USAID/DRGP expects applicants to include in their proposal actions that will strengthen the capacities of national and local CSO and media to improve their effectiveness in participating in decision making, as well as in implementing national and local policies related to extractive industries.

2.5.2.2.3. More effective CSO and media advocacy work

Considering the issues and challenges raised above, the new program should focus more on making civil society (including community and citizens), media and private sector more influential through increasing their access to information, their capacity, expertise and coalitions, developing their advocacy role and power of influence, holding government accountable, reconciling or cleaning up the legal framework to meet community needs ¹⁰, and improving the understanding of community rights, regulations and operations by key stakeholders. The implementation of those kinds of actions suppose a consistent, coherent and well-articulated approach. For example, questions such as what? how? when? with whom? for what purpose? should guide the implementer to intervene in a specific domain of extractive industries transparency. The professionalism of CSO and media in their advocacy work should be reflected in each of their activities. The capacity strengthening efforts provided should be valued by concrete actions such as outreach events and forums for engagement of authorities and private companies, the use of a web-based and other devices tracking tools to increase dissemination of information and data...

¹⁰ Code minier and code pétrolier

2.5.2.3. Increased local actors' engagement and access to their rights

Most of the mining, oil and gas projects are operating at the regional and local levels, but decisions are taken at the central level without any inputs from local authorities and governments. The centralization of power, resources and information prevent local actors from exercising their rights.

2.5.2.3.1. Citizens and communities' knowledge and understanding of rights and regulations increased

The limited knowledge and poor understanding of the citizens and community rights by local governments and leaders hamper their ability to engage and be part of the decision-making processes. The approach of this activity is to provide local citizens and communities, including women, with knowledge, arguments and means of action to be aware of their rights and to fully engage in the fight for transparency and equity in the management and distribution of public revenue generated from the extractive industry. The social and environmental impact of the extraction activities is an area the awardee may also scrutinize in order to inform communities on the conclusions of studies done as a prerequisite of the operations. Often, the findings are not shared with local communities and they are not aware of the negative impact of the exploitation and the possible rehabilitation funds established to mitigate the negative impact. The awardee is expected to execute activities that result in an increase of public use and satisfaction with existing rehabilitation funds. As an illustration, the study on "Transparency in the Extractive Sector" reveals that local communities and their representatives in Cayar (Thiès), Hydrobase (Saint-Louis) have expressed deep concerns about offshore exploration and the upcoming gas exploration. The offshore projects are perceived as a threat to their already constrained environment where resources are very limited and inadequate to meet the needs of the population. In this context, the discovery of a gas field in the traditional fishing zone called "Guet Ndar" increases the risk of competition for natural resources. This is an issue that requires open discussion and clear understanding of each other's interest, between fishermen, women processors, local leaders, companies and government agencies to prevent conflict and preserve resources. The recipient should work closely and possibly leverage resources with "Dekkal Guedj"¹¹ to jointly address these issues raised by the fishermen community.

2.5.2.3.2. Information and participation of local authorities in the governance of resources improved

Local and regional authorities are often left uninformed about critical decisions taken and key aspects of the extractive projects within their own regions and communities. On one hand, there is a notable absence of information between the central and regional levels, particularly the decentralized administrations headed by governors and prefects. On the other, communication is absent between the regional representatives of the administration and the elected mayors and community leaders.

The governors have limited power over decisions in the extractive sector, whereas their relationships with the technical units are purely functional, not hierarchical. Similarly, private companies and investors cooperate with governors, but are not accountable to regional actors.

¹¹ "dekka Guedj" is a USAID (FtF) fisheries activity that aims to improve governance of sea resources

Knowing that the representatives of the State have under their supervision all local administrative units and respond on behalf of the government, it's understandable to provide them with the information, resources and tools to ensure their supervisory and representation role. Local units that are supposed to supervise operations in the field and local governments representing community interests lack means, information and technical expertise to perform their mission. While governmental actors are responsible for the management, planning and coordination at the central level, the responsibilities of the local governments are not well defined in mining, oil and gas exploitation. At the local level, companies often negotiate local development plans, outside of a licensing agreement, that can include a service provision for communities, employment training, or opportunities. In the same vein many companies provide ad hoc benefits to local communities as part of their corporate social responsibility portfolio. In order to take advantage of these benefits without distorting their local governance role, local officials need specific support to be able to negotiate, coordinate and monitor companies' social intervention. Subnational governments can develop enough technical capacity to contend with challenges that come from extractives. Support to local officials could be combined with efforts to better engage other communities' leaders. If they are well organized and coordinated, local actors could be in a position that private companies and the central government will take them into account in their political and management decisions. This Recipient shall enable them to play a more active role and manage the challenges and opportunities that affect or interest their constituencies.

2.5.2.3.3. Increased equitable use of social and economic funds generated by the extractive sector

In Senegal, the management of dedicated funds such as rehabilitation funds, equalization and local government funds, social mining funds, or future generations funds is problematic and requires strong advocacy work and pressure to be concretely implemented by the government and monitored by citizens. Their adaptation and effective implementation are one of the highest priorities on which the applicant may invest time and efforts. Senegal has adopted a series of regulations intended to ensure an equitable distribution of revenues across territories, or to protect local communities or future generations against the adverse consequences of the extractive operations. However, these are not implemented or operational due either to the reference of an enforcement decree which is not signed, or to the inappropriate or inapplicable decree adopted. It was the case of the Local Development Fund created by the 2016-32 Act. Hopefully, the government has adopted a new decree following a strong advocacy work done by CSO, particularly ONG 3D through the USAID/Kawral program. These legislations determine most of the extractive revenues that go directly and profit the communities, particularly those who are negatively impacted by the exploitation of resources. Their modification, adaptation and implementation are essential for an equitable distribution of revenues to the communities.

Illustrative activities

Overall, Overall, illustrative action areas for the activity include but are not limited to:

- Providing technical assistance to government agencies and institutions to improve the traceability of extractive revenues through the budget system and the transparency of extractive revenues management and distribution
- Supporting platform of dialogue between the multi-stakeholder group, the companies and the public

- developing a partnership with other implementers and donors to leverage resources and efforts to improve budget management systems...
- Providing technical support to the national branch of EITI as critical oversight mechanism in the extractive sector
- Assessing CSO and media skills, capability and weaknesses in developing collective actions and advocating for more transparency in the extractive sector; respond to assessment recommendations
- Training and mentoring civic actors to apply skills towards their own advocacy work
- Developing a gender sensitive approach and training CSO on gender and social inclusion issues in the extractive sectorial
- Strengthening Civil Society organizations and Media skills to improve their effectiveness in advocating for right measures, as well as their implementation.
- Increasing access to qualitative information and data and their use by the public
- Supporting outreach events and forums for engagement of private companies and government with CSO
- Strengthening civil society's capacity to participate in policy formulation and contribute to policy implementation and impact.
- Supporting Civil Society coalition building and networking
- Enhancing community and citizen knowledge and engagement to exercise their rights
- Facilitating multi-stakeholders dialogue and commitment at both national and local levels
- Strengthening extractive revenues management traceability and transparency
- Supporting existing regulatory and accountability mechanisms and processes including the EITI national branch
- Supporting civil society commitments to action and holding government agencies and institutions and companies accountable for responsible execution of their commitments
- Improving the quality and accessibility of evidence-based data relevant to decision-making
- Providing support for central and local levels exchange of information, coordination, including facilitating and convening events in coordination with USAID, such as stakeholder consultations, etc.
- Amplifying mass communication around transparency and accountability in the extractive sectors.

These action areas are intended to be illustrative but not complete. Additionally, the Applicant is expected to determine what skill sets and capacities are most relevant in the Senegal context to strengthen performance in these or other action areas and demonstrate how it can bring those skills to the Activity and the expected results.

Illustrative indicators

The below indicators are also indicative and provide the recipient with some guidance on the type of indicators it may consider including in their AMELP. Other contextual indicators collected by other organizations, such as EITI, should be monitored as appropriate. At a minimum, the indicators table contained in the AMELP should include USAID-standard indicators.

- Number of GOS officials receiving USG- supported training
- Number of GOS institutions or agencies receiving technical assistance from USG support
- Number of USG-assisted CSO that participate proceeding and/or engage in advocacy with national government

- Number of public forums resulting from USG assistance in which government, private companies and members of the public interact
- Number of people affiliated with CSO and media receiving USG supported training
- Number of individuals/groups from women and marginalized communities who received USG support
- Number of USG-assisted campaigns to enhance public understanding, NGO support and media coverage of transparent and accountable extractive sector
- Number of journalists and media trained
- Number of non-state news outlets assisted by USG.
- CBLD-9 (NPI indicator): Percent of USG-assisted organizations with improved performance [IM-level]

2.6. Technical Approach

The overall approach of the activity revolves around citizen and community knowledge, engagement and participation in the governance of extractive resources in order to protect their rights, preserve resources and influence public policy reform and implementation. The main objective of this activity is to ensure public revenue generated from the extractive industry leads to investments that perpetuate Senegal's J2SR.

The areas of intervention will mainly focus at the central level where decisions are taken and policy reform initiatives are more relevant, and regions and Territorial Collectivities where extractive resources are exploited and companies operate. The implementation of such Activity requires from the recipient the following of rigorous principles, the development of an approach conducive to a successful implementation and an achievement of expected results.

- **Transformational Leadership:** Developing and supporting national CSO and Media leadership to actively push for transparent management of extractive resources in line with EITI principles and guidance
- **Compliance** with Code of Transparency derived from WAEMU directives and internal legal framework including revised 2016 Constitution, mining code and petroleum code
- **Collaboration and dialogue:** in these complex sectors where interests are divergent, the best way to get common understanding and commitment is to encourage multi-stakeholder dialogue and consensus building. Interaction practices that connect decision makers and local actors are highly encouraged.
- **Inclusion:** support marginalized groups such as disabled persons, poor communities, women or children in being actively part of the decision-making processes to express their views and concerns and to have opportunities to get access to resources. Establishing a successful inclusive approach provides a useful avenue for bringing all actors together and focusing discussion on local context and solidarity.
- **Trust-building:** the extractive sector is a domain of suspicion and opacity. It is indicated to develop approaches that help bridge the gap and reduce distance between stakeholders. The availability and exchange of information, the openness of decision makers, the positive attitude of civic activists and inclusive dialogue are among other factors that can increase trust between actors, transparency, accountability.

- **Coordination:** Collaborating and coordinating with internal and external actors such as USAID implementing partners, other donors and implementers to improve efficiency and performance is a key factor of success.
- **Monitoring, Evaluation and Learning (MEL):** Generating and analyzing data-driven results related to extractive resources governance is a requirement.

3. Strategic Considerations

3.1. Gender analysis

While progress has been made on women's issues in Senegal (especially in terms of representation through the parity law and passage of important gender related legislation), women generally remain marginalized and face significant barriers in becoming fully enfranchised members of society. The multiple discrepancies and inequities that impact women and girls and prevent them from learning and participating in and benefiting from the development of the country are more significant in the extractive sector. Women's participation in extractive industries activities remains low. The masculinity of this sector is recognized everywhere. In the remote areas where extractive industries operate in Senegal, women are often the most fully engaged in subsistence farming activities and are also most exposed and affected by any pollution arising from extractives projects. Most of the women evolve in the growing informal mining sector where they are exposed to sex work and sexual diseases. Men have most access to the benefits, which consist primarily of employment and income, while women and the families they care for are more vulnerable to the risks created by Extractive Industries, which consist of mostly harmful social and environmental impacts. This analysis revealed the limited women's access to benefits from the sector revenues and influence in decision-making. This activity seeks to be consistent with the goal of USAID's Gender Equality and Female Empowerment Policy (2012): *to improve the lives of citizens around the world by advancing equality between women and girls to participate fully in and benefit from the development of their societies*. It will contribute to an equitable social benefit of extractive resources and full participation of women and girls in all aspects of extractive activities. The activity shall empower women to have a greater and more consistent voice in civil society and in local service delivery decisions for their needs to be reflected.

3.2. Local systems - New Partnership Initiative

and key stakeholders is a guarantee of continuity of interventions beyond the life of the activity. The analysis also shows that institutionalizing greater transparency of extractive revenues management and effective allocation for development outcomes aligns with the "Financing Self-reliance" which is a pillar of J2SR. This activity has tremendous potential to increase GOS 'ability to raise money and invest in its own development in a sustainable manner. This activity is an opportunity for USAID to tighten its collaboration with other development partners. Mentoring, training and building local capacity are significant elements of this activity and the broad objectives of human and institutional capacity development are integrated into it.

3.3. Self-Reliance and Sustainability

USAID considers sustainability to be achieved when host country partners and beneficiaries take ownership of development processes and maintain results beyond the life of a project. Based upon the trend of Senegal becoming a significant extractive resources exploiter and the current environment market by the Covid-19 pandemic, sustainability success is going to be a tremendous

challenge. The activity as designed and envisioned, is sustainable, sustainability being promoted by interventions supporting fiscal transparency of the extractive sector, capacity development of local actors and system, and community-led activities. The approach based on existing structures takes place in an environment conducive to private sector investments aligned with the public interest and effective citizens and stakeholder's engagement on issues relevant to the sector. The WB support has some similarities with this activity, particularly in the areas of stakeholder and citizens' engagement in the petroleum sector. The Communication around Environmental and Social Assessment project, the training of beneficiaries are windows of opportunities where this activity could collaborate and possibly leverage funds with WB projects. The African Development Bank (AFDB), while prioritizing renewable energy, attaches importance to fossil fuels which constitutes a significant part of the overall energy mix investment in Senegal. Oxfam International is also partnering with civil society organizations to advocate for more transparency and public participation in the management of the extractive sector. Those donors and international organizations are potential partners with whom the recipient may coordinate and leverage resources and efforts towards transparency and citizen engagement.

3.4. Climate Change and Environmental Compliance Consideration

The DRG Initial Environmental Examination (IEE) was just reviewed by the USAID/Senegal Environmental Office and an IEE amendment approved on July 29, 2020 and will cover activities until December 31, 2025. The amended IEE including the TRACES activity determined that the Project met the criteria for Categorical Exclusion under 22 CFR, 216.2 (c)(i) (2)(i) and (v). A copy of the full Environmental Analysis is provided in the PAD Annexes. Should the life of the activities under this PAD extend beyond this existing IEE, an amendment will be made accordingly.

3.5. Host Government, Donors and other Counterparts

The strategic reference of Senegal's economic and social development is the "Plan Senegal Emergent" which intends to lead the country on a path to strong and inclusive development through three (30 Axis: 1. Structural transformation of the economy, 2. the promotion of human capital and 3. the consolidation of good governance, peace and security. The objectives of this NOFO are consistent with the key pillars of the PSE. Greater transparency and effectiveness in the management and use of extractive revenues contribute directly to Axis 1 and 3 and indirectly to Axis 2. Through its "Plan Senegal Emergent", Senegal yielded much trust within the international community. The World Bank (WB) provides a \$29 million development aid credit to help ensure Senegalese oil and gas development projects. The extractive sector is itself a complex system where many stakeholders interact. It is part of a bigger system, more complex and within which operate multiple individuals and groups to respond to their needs and priorities. A good understanding of the local system is the first step prior to engaging in capacity development efforts. Strengthening the capacity development of actors including private companies, government institutions managing public resources or overseeing operations, community and private companies who invest and/or benefited, and particularly CSO and media is a critical component of local system improvement. Indeed, Capacity development of local organizations and systems is a longstanding area of USAID's work and a cornerstone of the Journey-to-Self-Reliance (J2SR), New Partnership Initiative (NPI) and long term and sustainable development. This activity shall target local and locally established organizations in promoting their leadership and participation

in overseeing the extractive sector. In this context, the purpose of capacity development of local systems and actors is to improve their performance as watchdog, non-formal oversight mechanisms, particularly civil society organizations and media, in increasing transparency in the extractive sector. Capacity development starts with the capacity of the system to produce desired outcomes. The activity shall consider using the existing mechanisms to improve their effectiveness and local framework for developing interaction between local actors such as Multi-Stakeholders Group (MSG) within the National Committee of EITI or local consultation mechanisms whenever possible. Efforts shall be made to support the use of local organizations, resources, methods and institutions in support of local ownership and a sustainable training approach. This funding opportunity aims at developing local capacity that contributes importantly to locally owned and locally sustained results. The broader fiscal transparency system will be considered to create the conditions whereby the local system managing public resources operates effectively and independently.

4. Collaborating, Learning and Adapting

Collaborating, Learning and Adapting (CLA) is a set of practices that are crucial to improving the effectiveness of our programming. USAID suggests incorporating CLA throughout project or activity's cycle processes. An activity management is more effective; if it involves various actors, particularly local stakeholders who work collaboratively, if the learning and the acquired knowledge lead to adaptive management. This is a management approach the recipient should incorporate into the life cycle of the activity. Demonstrating skills building in CLA and methods to progressively integrate CLA principles into the programming would be a bonus for applicants.

5. Planning, Monitoring, Evaluation, and Learning

The Recipient shall establish a rigorous monitoring, evaluation, and learning system for the activity, including adequate staffing, technical support, and systems for routine data collection. During the first 45 days after the award is made, the Recipient shall work closely with USAID to refine indicators, performance targets for each indicator and/or narrative-based approaches, and finalize the Activity Monitoring, Evaluation and Learning Plan (AMELP) that describes how progress towards the Activity objectives will be assessed and learning will be used to adapt implementation. Applicants are encouraged to consider using appropriate complexity in monitoring methods to monitor and evaluate a range of both intended and unintended outcomes resulting from this activity as well as contextual indicators.

The AMELP should be *coordinated*, to support alignment with stakeholders to the greatest extent possible; *meaningful and timely*, to effectively inform decision making and adaptive management; and *consistent with USAID policy and guidance* (such as the Governing Justly and Democratically Indicator Handbook and the USAID Evaluation Policy), to remain up to date on standard protocols and the most recent thinking in evaluative science. Partnerships with stakeholders helps ensure more rigorous and sustained efforts to data collection and lay the foundation for increased efficiency and ownership. The AMELP should also employ a gender lens whereby gender differential effects can be captured, analyzed, and used to improve implementation and promote learning. The AMELP should include a defined set of performance measures and indicators, including both required and custom indicators. The Recipient must propose indicators to track the

required results for which no USAID standard indicator exists, as described above in the Expected Results.

To support gender analysis, all human-level indicators must be disaggregated by sex. The Recipient must also use systems to ensure data quality and must be prepared for data quality audits. The Recipient shall be responsible for data collection and analysis required by USAID for performance reporting and sharing the information in a timely manner with USAID/Senegal, key Government of Senegal entities, and other key partners as appropriate. Information sharing will create opportunities to discuss progress, identify constraints, and find solutions with all stakeholders. The USAID/ Senegal DRGP Office hosts regular (biannual) sharing events whereby implementing partners share progress to date with USAID, each other, and other partners as appropriate. Overall, the approaches to data collection should emphasize local capacity building and institutionalization to support sustainability; dialogue, consultation, coordination, and alignment with host country institutions and organizations to ensure ownership.

In addition to proposed evaluation activities carried out by the Recipient, USAID will conduct mid-term and/or final performance evaluations on all the TRACES activities.

6. Key personnel

The Applicant must propose individuals whom they deem appropriate for each of these three positions and must provide in an annex a maximum three-page resume (CV) for each to demonstrate how the proposed candidate is the best fit for the position, letters of commitment, three references with complete contact information. The roles, responsibilities, and level of efforts of key and other personnel (including any technical or operational staff at the home office that will support the activity) should be clearly described.

USAID reserves the right to contact other references not provided by the Applicant. (Note: the list of references is not included in the three-page resume limit).

6.1. The Chief of Party required skills and Experience:

Duties and Responsibilities

The Chief of Party will serve as lead and Director of the Transparency and Accountability in the Extractive Sector (TRACES) activity and team. He/ She will lead, supervise, coordinate and contribute to the implementation of TRACES program activities and process in the following areas:

- Overall process of management, planning and budgeting including field operations, procurement, logistics, security, information and communications technology, data processing and analysis, procedures, training, external relations, public information, outreach and media relations, civic education and engagement, graphic design, administrative support, support to media, political parties and civil society, gender mainstreaming, capacity-building, and institutional reform and development;
- Provision of support, technical assistance and advice to sub-grantees and national oversight or budget institutions if required.

- Partner's liaison, coordination, and collaboration
- Supervision of the performance of sub-grantees and staff;
- Establishing and maintaining professional and productive partnerships with national counterpart, institutions and other key stakeholders' extractive revenues transparency issues;
- Developing effective communication mechanisms: regularly brief senior USG officials, partners, counterparts as well as other key stakeholders on the issues of transparency in the extractive sector and provide regular reports to USAID as well as national officials if required;
- Perform other related duties as required.

Competencies

Professional competence and mastery of subject matter, notably in-depth understanding of and ability to evaluate extractive sector, knowledge of the management of the sector and good interpersonal skills;

Education:

Advanced university degree (Master's degree or equivalent) in oil and gas engineering or equivalent, in political science, international economics, international relations, law, public administration, or a related field;

Experience:

- A minimum of ten (10) years of progressively leadership position experience in extractive, natural resources management or anti-corruption projects or related areas;
- Excellent knowledge of the environment of extractive sector in Senegal
- Experience in developing countries in the context of mining, oil and gas exploitation is desirable;
- Previous experience of managing a team of different backgrounds at the senior level and the ability to manage and coordinate complex projects are desirable;
- Experience in bilateral or multilateral negotiations would be a bonus.

Languages and other skills:

- Fluency in French speaking and writing;
- Good understanding and speaking of English language (level IV at least) is required
- Computer skills (word, excel, power point...)
- Good reporting and presentation skills (writing and oral)
- Good knowledge of local and national context

6.2. Senior Finance and Administrative Manager:

Duties and Responsibilities

Under overall guidance and direct supervision of the Chief of Party (COP), the Senior Finance and Administration Manager (SFAM) will: - ensure effective execution of financial, procurement and

administrative services and processes transparent utilization of resources, review relevant documents and reports, - identify problems and issues and bring the attention of the COP with proposed actions, - liaise with relevant parties, identify and tracks follow-up actions.

The major Duties are as follow:

- Participate in the project work plan preparation with particular emphasis to the administrative, procurement and financial functions, i.e., prepare the budget and monitoring the project expenditures according to the budget and the work plan as approved by appropriate authority;
- Review systems and internal controls,
- Ensure promotion of optimal and soundest use of financial resources for project effective delivery and meet the standard of periodical /annual audit (internal and external); and advise Sub-grantees staff and counterparts on financial management and promote awareness of financial budget toward project delivery;
- Ensure the overall coordination of the Program on Finance and Administrative operations;
- Carry out actual to budgeted variance analysis on monthly, quarterly and annual basis; prepare and submit monthly, quarterly, periodic and year-end closer financial reports for submission through the COP; - Ensure accuracy, coding and prompt settlement by projects in quarterly advances; and review accounting transactions to ensure compliance with policies and procedures; - Participate in project monitoring meetings with USAID team, manage risks and assess on an ongoing basis the availability of funds for activities implementation, elaborate proper mechanisms to eliminate gaps in budget management;
- Oversee the financial and administrative management of sub-grantees;
- Provide support to the organization of review meetings, seminars / workshops / policy dialogues / consultation meetings / capacity building activity, logistics, monitoring missions and prepare inputs with budget estimation and program reports; - Conduct inventory management, vehicle management, store management;
- Ensure transactions are in accordance with financial rules and procedures; and maintain the internal expenditure control system to ensure that vouchers are processed, matched and completed, transactions are recorded correctly; - Ensure timely, accurate and relevant financial reports to management and USAID;

Competencies

- Strong customer-service skills with demonstrated ability to effectively interact with technical and non-technical end users in a pleasant, cooperative, and helpful manner;
- Demonstrated ability to solve problems and work independently;
- Ability to read, analyze, interpret and apply general technical instructions and procedures;
- Leadership and Self-Management
- Consistently approaches work with energy and a positive, constructive attitude;

Education

- Master's degree or equivalent in business administration, Finance, Accounting, or other relevant fields or at least required experience for this position.

Experience

- Minimum ten (10) years of experience in financial and administrative management and procurement in national and / or international development organizations in similar position;
- Good knowledge of development work, Civil Society and community-based organizations
- Computer skills (word, excel, power point...); Ability to work or use new software (quickbook, sari...) as financial management tools.

3. The Monitoring, Evaluation, and Learning (MEL) Specialist

Duties and Responsibilities

Under the overall guidance and direct supervision of the COP, the M&E Specialist will be responsible for designing and implementing the M&E activities of the Program; assisting the COP in preparing Quarterly/Annual reports on project progress and will monitor the project activities on a regular basis; collecting & analyzing data in accordance with the Activity Monitoring, Evaluation and Learning Plan (AMELP).

The M&E Specialist works in close collaboration with program team and sub-grantees M&EL Specialists to:

- Monitor all program activities and progress towards achieving the outputs and outcomes;
- Recommend further improvement of the logical framework;
- Develop monitoring and impact indicator for the program success;
- Monitor and evaluate overall progress or achievement of results;
- Monitor the sustainability of the program's results;
- Report monthly, quarterly, half-yearly and annual progress on all project activities to the COP and USAID; - Conduct capacity assessment of sub-grantees existing monitoring and evaluation system or methodology - Provide inputs, information and statistics for quarterly, annual and other reports to Project Management Team and USAID;
- Participate in periodic program reviews and planning workshops and assist the LPM in preparing relevant reports;
- Assist in coordinating across the available components of the Program to ensure effective implementation of the AMEP;
- Assist the program team with M&E tools and measurable Outputs and Performance Indicators and support them in their use.
- Assist the COP in preparing other relevant reports;
- Organize and conduct training on M&E for program staff

Competencies

- Organizational capacity of planning and managing workload
- Interpersonal skills and effective working relationships with staff and partners to facilitate the provision of support - In-depth knowledge on M&EL and development issues
- Excellent knowledge of monitoring and the application of methodology: Good understanding of capacity assessment methodologies; excellent ability to identify significant capacity building opportunities; - Excellent communication skills (written and oral): Sensitivity to and responsiveness to all partners;

Required Skills and Experience

Education:

- University Degree preferably in Business Administration, Economics, or related field and experience.

Experience:

- At least 5 years of experience in the design and implementation of MEL in development projects implemented by national/international NGOs;
- Experience in designing tools and strategies for data collection, analysis and production of **reports; Strong training & facilitation skills.**

Other Requirements:

- Fluency in written and spoken French and one of the local languages.
- Good knowledge of development work and community-based organizations
- Computer skills (word, excel, power point...)
- Good communication and Presentation skills in French

[END OF SECTION A]

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SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide **\$10,000,000.00** in total USAID funding over a four-year period.

2. Start Date and Period of Performance for Federal Awards

The anticipated period of performance is four (4) year period The estimated start date will be June 2022 .

3. Substantial Involvement

The Award under this NOFO will be a **cooperative agreement**. Potential applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under assistance instruments. Consistent with ADS 303.3.11, USAID/Senegal will be substantially involved in the implementation of the TRACES activity. USAID's substantial involvement under this Cooperative Agreement shall be limited to approval of the following:

- A. **Approval of Implementation Plan:** For the life of the activity, the Recipient shall prepare for and request USAID's prior approval of an activity Implementation Plan, and annual work plans;
- B. **Approval of Specified Key Personnel:** Prior USAID Agreement Officer (AO) approval is required for personnel filling those positions considered to be essential to the successful implementation of the award;
- C. **Agency and Recipient Collaboration or Joint Participation:** When the recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, the AO may authorize the collaboration or joint participation of USAID and the recipient on the program. There should be sufficient reason for Agency involvement and the involvement should be specifically tailored to support identified elements in the program description. When these conditions are met, the AO may include appropriate levels of substantial involvement such as the following:
 - 1. Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient.
 - 2. Approval of the Activity Monitoring, Evaluation, and Learning Plan (AMELP).
 - 3. Concur on the selection of subaward recipients and/or the substantive provisions of the subawards.

4. Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects All such activities must be included in the program description, negotiated in the budget, and made a part of the award.

5. Authorized Geographic Code

The geographic code for the procurement of commodities and services under this program is 937.

6. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the TRACES program which is authorized by Federal statute. The successful Recipient shall be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient shall assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

[END OF SECTION B]

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SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

Eligibility for this NOFO is not restricted.

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

2. Cost Sharing or Matching

Cost sharing is not required under this program.

[END OF SECTION C]

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SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Please submit your application by email to:

Name: Khady Sadio
Position: Acquisition & Assistance Specialist

Name: Jaime Dominguez,
Position: Deputy Director/ Regional Agreement Officer
email address: drgp21solicitations@usaid.gov

2. Questions and Answers

Questions regarding this NOFO should be submitted to drgp21solicitations@usaid.gov no later than the date and time indicated on the cover letter, as amended. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

3. General Content and Form of Application

Preparation of Applications:

Each applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) applications. The Technical application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the applicant must be accompanied by

evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

Applications must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- Written in English
- Use standard 8 ½" x 11", single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- A 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word and PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion; however, the official cost application submission is the unlocked Excel version.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

4. Application Submission Procedures

Applications in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter, as amended. Late applications will not be reviewed nor considered. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time/confirmation from the receiving office/certified mail receipt.

Applications must be submitted by email to drgrp21solicitations@usaid.gov Email submissions must include the NOFO number and applicant's name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[NOFO number], [organization name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email the file name that is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that e-mail is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server.

There may be a problem with the receipt of *.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID/Senegal RAAO cannot guarantee their acceptance by the internet server. File size must not exceed {insert max file size}.

5. Technical Application Format

The technical application will be the key factor for consideration in selection for award of the proposed Cooperative Agreement. The technical application should be specific, complete, and presented concisely. The application must demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in this NOFO.

The Technical Application narrative section must not exceed 30 single-spaced typed pages in English. **USAID/Senegal will not review information submitted over the 30-page limit.** To facilitate the competitive review of the applications, USAID/Senegal will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the Selection Committee and will not be reviewed. Letters of support are not requested and will not be provided to the Selection Committee. The following parameters apply to the page limitation:

- Cover Page (not counted against page limit)
- Table of Contents (not counted against page limit)
- Executive Summary (NTE 2 pages)
- Technical Approach (NTE 20 pages)
- Management Approach, Key Personnel and staffing (NTE 7 pages)
- Past Performance (NTE 1 pages)

a. Technical approach (Not to exceed 20 pages)

Describe the specific results anticipated and how they will be achieved, and:

- A sound theory of change that demonstrates how the proposed interventions will lead to the desired results
- Reflect an understanding of the challenges and opportunities facing the extractive industries sector with regard to the implementation of transparency and accountability principles and practices.
- Highlight innovations and why the approach is believed to be particularly effective;
- Describe the operational approach (e.g. how the beneficiaries will be reached over the life of the project; the locations/zones where the activity will be implemented, the graduation or expansion approach if any, the key actors and target institutions, partners...);
- demonstrate how the guiding principles are integrated into the technical approach, including:
- The sustainability of the activity (e.g. how local actors and systems will be supported to develop and sustain measures and practices; which local actors will be engaged; etc.);
- Gender integration (e.g. how gender issues will be identified, analyzed, addressed, and tracked, including: how activities may impact and be impacted by gender norms, roles, and relationships; the different constraints, needs, and responsibilities of men and women; and how power dynamics affect public access and participation to extractive industries sector management);
- How the applicant will coordinate and collaborate with other USAID projects, other donors and the Government of Senegal;
- Describe how the monitoring, evaluation, and learning approach will effectively and feasibly monitor and improve performance, foster learning, and support the sustainability and overall objective of the activity. (In addition, a draft AMELP should be included as an annex. The Learning section of the draft AMELP must include at least three learning questions the applicant feels are worthy of pursuing.)

b. Management Approach, Key Personnel and Staffing Plan (Not to exceed 7 pages)

The management approach must describe/ include:

- The members of the consortium, including their capabilities and skills.
- The management structure (with an organizational chart attached as an annex), including the roles and contributions of all consortium members.
- How the management structure will lead to effective and efficient implementation throughout the different areas of work, with particular emphasis on how the consortium will function as a partnership among all members and bring to bear the greatest capacity on prioritized activities
- How the management approach maximizes cost effectiveness, supports a facilitative approach to development, and ensures effective coordination with other USAID programs
- How the management approach will respond and adapt to changes that are likely to occur during the period of performance, including how it ensures that the Applicant has the ability to respond quickly to changes in a dynamic policy environment

- How the management approach ensures that the Applicant can provide a reasonable level of service ‘on demand’ in response to requests from USAID, GoS and the private sector, while still focusing on transparency priorities and core competencies
- Policies and practices for overall implementation, including personnel training and management, administrative management, and financial management
- Systems for knowledge management and external communications to USAID Government of Senegal, the private sector, and other stakeholders.

- The staffing plan and how it will ensure the technical, analytical, managerial, and interpersonal skills needed to effectively and efficiently achieve the Activity objectives and guiding principles, including sufficient experience and commitment to addressing gender equality and sustainability
- Position descriptions for those staff considered as key personnel and why, are the positions that subsequently would be under the Substantial Involvement clause, which specify the required/desired qualifications. Each candidate for Key Personnel should be supported by CVs/resumes, letters of commitment, and reference contact information included in an Annex; and
- The roles, responsibilities, and level of effort of key and other personnel (including any technical or operational staff at the home office that will support the activity).

c. Past performance (not to exceed 1 page)

The applicant must provide past performance information for itself and each major sub-grantee (one whose proposed cost exceeds 15.0 percent of the applicant’s total proposed cost). The applicant must summarize past performance information in the Technical Application and may include additional required information in an annex.

1. The applicant's major subgrantees should list in an annex no more than five (5) for each organization (prime and major subs) of the most recent (no more than 5 years) and relevant awards (contracts and/or assistance) for efforts similar to the work in the subject funding opportunity for each organization. The most relevant indicators of performance are awards of similar scope, size and how recently they were performed. Specifically, such awards must demonstrate the capabilities and experience of the applicant and its team in successfully managing similar types of activities. The applicant must provide the Past Performance Information in the format provided in **Attachment No. 1**.

2. For each of the awards provided in response to the paragraph above the applicant must include a list of contact names and a description of the performance to include: Scope of work or complexity/diversity of tasks
 - Primary location(s) of work
 - Term of performance
 - Skills/expertise required
 - Dollar value; and
 - Award type, i.e., acquisition or assistance and fixed price, cost reimbursement, etc.

The information in **Attachment No. 1** will be used to capture the required information

USAID recommends that the applicant alert the contacts that their names have been submitted and that they are authorized to provide performance information concerning the listed awards if and when USAID requests it. If extraordinary problems impact any of the referenced contracts, provide a short explanation and the corrective action taken (as required by FAR 15.305(a)(2)).

3. The applicant may describe in an annex any quality awards or certifications that indicate exceptional ability to provide the service or product described in the NOFO.

Annexes: Promotional literature and materials regarding the applicant must not be submitted as part of the annexes. The following items are not subject to the page limitation and will not be counted (a page in the technical application, which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the “page” limitation):

- Resumes/Curriculum Vitae (CVs) for Key Personnel (not to exceed [NTE] 3 pages each), proposed position descriptions (NTE 1 page each), and signed letters of commitment (NTE 1 page each) from Key Personnel;
- Partner letters of commitment;
- Charts providing information on management structure, matrixes demonstrating staff skills, and organizational chart(s); and
- Activity Monitoring, Evaluation and Learning Plan (AMELP)
- Draft Branding Strategy and Marking Plan (BSMP)

All other items not listed as an annex are included in the above page limitation. Please number pages as “Page __ of __ Pages” where a page number combined with a letter indicates a page that is exempt from the 30-page limitation. Annexes can be numbered separately and should be numbered as “Annex 1: 1 of X, Annex 2: 2 of X”, et cetera. Pages should be paginated at the bottom.

6. Business (Cost) Application Format

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant’s risk in accordance with 2 CFR 200.206. Applicants should not submit any additional information with their initial application.

The Cost Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

- a) **Cover Page** (See Section D.3 above for requirements)
- b) **SF 424 Form(s)**

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

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

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

c) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with their application.

- (1) “Certifications, Assurances, Representations, and Other Statements of the Recipient” ADS 303mav document found at <http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>
- (2) Assurances for Non-Construction Programs (SF-424B)
- (3) Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

d) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make an award and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID’s determination that the proposed costs are fair and reasonable.

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

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See Section H, Annex 1 for Summary Budget Template
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project.

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

- 1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.
- 2) Fringe Benefits – (if applicable) If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.
- 3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.
- 4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

- 5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant’s budget, including those related to fringe and indirect costs.
- 6) Construction – Not applicable under this funding opportunity.
- 7) Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.
- 8) Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only

Eligibility: Any applicant

Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)

Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA

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

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)

Eligibility: Any applicant that does not have a current NICRA

Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200 for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount

Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO

Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year
- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the applicant's requested method.

e) Prior Approvals in accordance with 2 CFR 200.407

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

e) Approval of Subawards

The applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.332(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

f) Dun and Bradstreet and SAM Requirements

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

1. Provide a valid DUNS number for the applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.beta.sam.gov).
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

DUNS number: <http://fedgov.dnb.com/webform>

SAM registration: <http://www.beta.sam.gov>

Non-U.S. applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on www.beta.sam.gov, navigate to Help, then to International Registrants.

g) History of Performance

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed three years, as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last five years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

h) Funding Restrictions

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.331 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

Construction will not be authorized under this award.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B.4 of this NOFO and must meet the source and nationality requirements set forth in 22 CFR 228.

i) Branding Strategy & Marking Plan

Applicants shall provide a Branding Strategy and Marking Plan as an annex to be evaluated and approved by the Document Outreach Communication team and the Agreement Officer and will be incorporated into any resulting award.

PRE-AWARD TERMS

1. Branding Strategy – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and

marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

- e. The Branding Strategy must include, at a minimum, all of the following:
- (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity.
 - (i) USAID requires the applicant to use the “USAID Identity” comprised of the USAID logo and landmark, with the tagline “from the American people” as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.
 - (ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.
 - (iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.
 - (v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
 - (3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.
 - (4) Planned communication or program materials used to explain or market the program to beneficiaries.
 - (i) Describe the main program message.
 - (ii) Provide plans for training materials, posters, pamphlets, public service announcements, billboards, Web sites, and so forth, as appropriate.
 - (iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences,

public events, and so forth. Applicants must incorporate the USAID Identity and the message, “USAID is from the American People.”

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

- (5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.
 - (6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.
- e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

(END OF PRE-AWARD TERM)

1. Marking Plan – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and landmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency and is found on the USAID Web site at <http://www.usaid.gov/branding> . Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Marking Plan must include all of the following:

- (1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
 - (i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
 - (ii) Technical assistance, studies, reports, papers, publications, audiovisual Productions, public service announcements, Websites/Internet activities, promotional, informational, media, or communications products funded by USAID;
 - (iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
 - (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.
- (2) A table on the program deliverables with the following details:
 - (i) The program deliverables that the applicant plans to mark with the USAID Identity;
 - (ii) The type of marking and what materials the applicant will use to mark the program deliverables;
 - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
 - (iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and
 - (v) The rationale for not marking program deliverables.
- (3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
 - (i) Compromise the intrinsic independence or neutrality of a program or materials where or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
 - (ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.
 - (iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why

- each particular item or product is better positioned as a host-country government item or product.
- (iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.
 - (v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.
 - (vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
 - (vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.
- f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- g. If the applicant receives an assistance award, the Marking Plan, including exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

j) Conflict of Interest Pre-Award Term (August 2018)

a. Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.
2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest

The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity.

USAID will promptly take appropriate action upon receiving any such notification from the applicant.

(END OF PRE-AWARD TERM)

[END OF SECTION D]

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SECTION E: APPLICATION REVIEW INFORMATION

1. Criteria

A Selection Committee (SC) comprising a majority of USAID employees will conduct a merit review of all applications received that comply with the instructions in this NOFO. The evaluation will be conducted using the adjectival rating system. After evaluations have been completed, the SC will then recommend the apparently successful applicant. The Agreement Officer (AO), considering the SC recommendation, will then make the final selection.

USAID may engage in discussions or negotiations with the Apparently Successful Applicant regarding any matter to be covered in the Full Application. USAID may also provide an award without discussions with the selected Applicant.

Applicants must note that the technical review criteria serve to: (a) identify the significant matters which applicants must address in their Full Application and (b) set the standard against which all Full Applications will be evaluated.

The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format; however, the technical application is considered more important than cost. The Technical Application will be scored by a Selection Committee (SC) using the criteria described in this section.

2. Review and Selection Process

2.1 Merit Review

USAID will conduct a merit review of all applications submitted by applicants that comply with the instructions in this NOFO. Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance:

1. Technical Approach
2. Management Approach -Key Personnel and Staffing plan; and
3. Past Performance

Evaluation Criteria # 1 Technical Approach

This is the extent to which the proposed technical approach (including the AMELP) demonstrates a clear understanding of the expected results and guiding principles of the program and a convincing approach to achieve them, including the ability to effectively and efficiently adapt to fluctuations in available funding.

The applicant should identify the sources of problem and impediments to solution in a brief context and problem analysis. A problem analysis is the systematic study of the context, profile, causes, actors, and dynamics. As relevant to the proposed program's theory of change, the analysis should identify and discuss the sources of the problem, the key actors, and the mobilizing factors that could facilitate the transformation of the problem into opportunities. The analysis should explicitly examine the key actors of change; include an understanding of the different roles, cultural norms, and identities of men, women⁸, and other gender minorities, and how these different experiences may contribute to the causes and consequences of the identified problem. The context and problem analysis should also include a brief description of any other donor, government, private sector, or NGO activities that address the identified problem, including gaps in current programming and response, and how the applicant's proposed program will complement the efforts of those other actors.

The application should clearly describe how the operational approach will achieve the proposed scale. The proposed approach will also be evaluated in terms of feasibility and effectiveness in fostering transformative change through sustainable approach and local systems improvement.

The applicant should also include the theory or theories of change that underlie the proposed programmatic approach. A program theory of change outlines the cause and effect relationship underlying the proposed intervention and is often expressed as an *if-then* statement. A theory of change states what expected (changed) result will follow from a particular set of actions. A simple example is, "If I add more fuel to the fire, then it will burn hotter." The application needs to clearly and logically explain the assumed connections between the challenges identified in the problem analysis, the project's various actions and activities, and the goal of addressing issues in a particular context.

Applicants should demonstrate an understanding of Participation, Inclusion, Transparency and Accountability (PITA) effectiveness, sustainability, and gender integration principles and take them into consideration. The applicant should demonstrate how their approach has built-in measures to robustly support the long-term sustainability of the overarching program goals and desired outcomes, improve local system and civic engagement, and have an impact on fiscal transparency that lasts beyond the life of the program.

Specifically, applications will be evaluated on the improvements in the extractive industries transparency system as key factors of better revenues management and distribution, and sustainable development outcomes. The technical approach includes a good understanding of the local system in its complexity and the identification of the key players and processes that feed it. The proposed approach will also be evaluated in terms of feasibility and effectiveness in fostering transformative change through sustainable local systems development.

Based upon the trend of Senegal becoming a significant extractive resources exploiter and the current environment market by the Covid-19 pandemic, the applicant should show the extent to which it will address the tremendous challenge of sustainability through capacity development of local actors and system, and community-led activities. Applicants should demonstrate a clear

understanding of the role that local¹² entities and institutions are playing or can play to address local issue (s). The approach should also show that institutionalizing greater transparency of extractive revenues management and effective allocation for development outcomes aligns with the “Financing Self-reliance” which is a pillar of J2SR¹³.

Evaluation Criteria # 2 Management Approach, Key personnel and Staffing

The extent to which the proposed management approaches demonstrates the ability to effectively and efficiently implement this program, including how potential fluctuations in available funding and coordination will be managed. Feasibility, efficiency, effectiveness, scalability, and sustainability of the management approach will all be taken into consideration. The applicant’s illustrative first-year activity plan should set out a realistic outline of tasks and deliverables, denoting who will be responsible for the management and implementation. The plan should include anticipated timeframes, potential challenges toward implementation, opportunities, due dates, and persons responsible for achieving each task.

When feasible, it is preferable that local partners are at the forefront of USAID-supported efforts. In cases where the primary applicant is not a local entity, it is strongly encouraged that the applicants work closely with local partners on all phases of program design, implementation, and evaluation. The management relationship between the applicant and its local partners should be fully described.

This is the extent to which the proposed key personnel and staffing plan convincingly demonstrate the ability to successfully and effectively implement the proposed program, achieve the expected results, and integrate the guiding principles, including gender.

Evaluation Criteria # 3. Past Performance

The extent to which the applicant and its teaming partners, if any, demonstrate successful past performance in achieving results on similar programs.

The Applicant’s performance information determined to be relevant will be evaluated in accordance with the elements below:

1. Quality of product or service, including customer (and end user or beneficiary) satisfaction with performance and consistency in meeting goals and targets.
2. Cost control, including forecasting costs as well as accuracy in financial reporting.
3. Timeliness of performance, including adherence to award schedules and other time sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks.

In cases where (a) an Applicant lacks relevant performance history, or (b) information on performance is not available, then the Applicant will not be evaluated favorably or unfavorably on performance. Prior to assigning a “neutral” past performance rating, the agreement officer may consider a broad range of information related to an Applicant’s performance.

¹² Local refers to national and subnational entities, institutions, organizations or any other actors.

¹³ Journey-to-self-reliance

2.2 EVALUATION METHODOLOGY

In evaluating the application, the SC will utilize the review criterion and sub criterion, as described in NOFO. The below chart outlines the definitions established for strengths, weaknesses, and clarifications. During evaluation of the applications, the SC will utilize these definitions when evaluating each application.

The SC will use an adjectival approach when evaluating the applications. The below chart details the rating scheme and definitions applicable to review criterion.

Adjective	Merit Review Criterion
Exceptional	An Exceptional application has the following characteristics: <ul style="list-style-type: none"> • A comprehensive and thorough application of exceptional merit. • Application meets and fully exceeds the Government expectations or exceeds NFO objectives and presents very low risk or no overall degree of risk of unsuccessful performance. • Strengths significantly outweigh any weaknesses that may exist.
Very Good	A Very Good application has the following characteristics: <ul style="list-style-type: none"> • An application demonstrating a strong grasp of the objectives. • Application meets NFO objectives and presents a low overall degree of risk of unsuccessful project performance. • Strengths significantly outweigh any weaknesses that exist.
Satisfactory	A Satisfactory application has the following characteristics: <ul style="list-style-type: none"> • An application demonstrating a reasonably sound response and a good grasp of the objectives. • Application meets NFO objectives and presents a moderate overall degree of risk of unsuccessful project performance. • Strengths outweigh weaknesses.
Marginal	A Marginal application has the following characteristics: <ul style="list-style-type: none"> • The application shows a limited understanding of the objectives. • Application meets some or most of the NFO objectives, but presents a significant overall degree of risk of unsuccessful project performance. • Weaknesses equal or outweigh any strength that exists.
Unsatisfactory	An Unsatisfactory application has the following characteristics: <ul style="list-style-type: none"> • The Application does not meet the NFO objectives or requires a major rewrite of the application. • Presents an unacceptable degree of risk of unsuccessful project performance. • Weaknesses demonstrate a lack of understanding of the Government's needs. • Weaknesses significantly outweigh any strength that exists.

2.3 Business Review

The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (2 CFR 200.206). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.208).

Evaluation of Cost Application

In evaluating the cost of applications, the Government will evaluate the Applicant’s proposed costs for effectiveness, completeness, reasonableness, and realism. The Government will evaluate the cost application for completeness by assessing the responsiveness of the Applicant in providing requested cost data as requested in the NFO.

The Government will evaluate how well the Applicant’s application supports elements of cost, level of effort, and indirect cost rates over the assistance award life. As well as reflect a clear understanding of the requirements and are consistent with the applicant’s technical capacity. Proposed indirect rates and factors will be verified with the USAID Cost and Audit Support or other Cognizant Audit Agency via rate check or formal audit, as appropriate.

As part of the analysis of the applicant's proposed budget, the AO must review the applicant's proposed cost share (if required) contributions for cost realism. The AO must verify that the proposed contributions meet the standards set in 2 CFR 200.306 for U.S. organizations or the Standard Provision “Cost Share” for non-U.S. organizations.

[END OF SECTION E]

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated, and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

2. Administrative & National Policy Requirements

The resulting award from this NOFO will be administered in accordance with the following policies and regulations.

For US organizations: [ADS 303](#), [2 CFR 700](#), [2 CFR 200](#), and [Standard Provisions for U.S. Non-governmental organizations](#).

For Non US organizations: [Standard Provisions for Non-U.S. Non-governmental Organizations](#).

See Annex 2, for a list of the Standard Provisions that will be applicable to any awards resulting from this NOFO.

3. Reporting Requirements

- **Financial Reporting:**

- The recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc>). The recipient must submit a copy of the FFR at the same time to the Agreement Officer and the Agreement Officer's Representative (AOR).
- The recipient must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMP-LOC Unit and the AOR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to the U.S. Department of Health and Human Services in accordance with paragraph the above.
- Quarterly Financial Reports: Financial reporting requirements will be in accordance with USAID's policies and regulations. Two weeks before the end of each quarter (e.g., mid-December, mid-March, mid-June and mid-September) the Recipient shall submit accruals information to the AOR. Financial reports must contain sufficient information on a sub-line item basis to review vouchers for approval.

- **Performance Reporting**

The Recipient must submit the following implementation and reporting documents in English. The Recipient and AOR will agree upon the appropriate format and length for each. In addition, a French-language version of some of these documents is acceptable (see below) to facilitate

information sharing with partners and stakeholders. They will be written with that audience in mind. The length and format of the French-language versions will be decided with the AOR.

- **Annual Work Plan:** The Applicant will submit annual work plans that are developed yearly and include the proposed Implementation Plan for the given year, time-frame, implementation of interventions, an itemized and detailed budget, review of the previous year's challenges and accomplishments, proposed annual outputs, and progress towards achieving results.

The Recipient must submit an electronic copy of a first-year work plan and grants manual within 45 days of award to cover the first 15 months of the project. Subsequent work plans must be submitted by September 1 for each year cycle, which begins on October 1. A brief, French-language version of the work plan should also be submitted at the same time.

- **Bi-weekly Communication Updates** will include the following:

- Links to media coverage of program and activities
- Content for social media, with text and captions for photos
- Forecast press events, social media coverage and communication products (newsletter, video, etc.).
- Event plans (in coordination with the USAID/Senegal Bilateral DOC feedback), with social media tool kit.
- Post-event write up and social media analysis with photos.

- **Exit Strategy:** The Recipient must submit a life-of-activity exit strategy within 45 days of award. Annual updates of the exit strategy must be submitted by September 1. The exit strategy will document the steps the Recipient will take to strengthen the host country's ability to sustain and potentially expand the interventions and/or results of the Activity.

- **Activity Monitoring, Evaluation, & Learning Plan (AMELP):** The AMELP is a management tool that enables the Applicant and USAID to track whether desired results are being achieved and project implementation is being adapted to changing conditions. This plan should define critical performance indicators, data collection methods and the Recipient's plans for analyzing, utilizing and sharing information for reporting, accountability, learning and adaptation. The AMELP must also include the activity's approach for establishing effective procedures for collecting and responding to feedback from beneficiaries and reporting to USAID a summary of beneficiary feedback and how the implementing partner and the Mission addressed it. The Recipient must submit a life-of-activity AMELP within 90 days of award. Annual updates of the AMELP must be submitted by November 5.

Quarterly and Annual Performance Reports. The Applicant will prepare and submit Quarterly and Annual Progress Reports that provide a summary of progress, indicating any problems encountered, and proposed remedial actions as appropriate. The Applicant should determine an appropriate format for the reports with the input and agreement of the AOR. It is anticipated that the reports will reflect key elements of the Annual Work Plan, and address at least the following points:

- Activities completed;
- Challenges encountered, how they were addressed, and whether or not they persist or were resolved;

- Activities to be undertaken in the following quarter/year;
 - Disaggregated data on indicators set under the AMEP; provided by sex, region and any other relevant disaggregation required by USAID; and
 - Progress on addressing the issues of feasibility, sustainability and scalability of core interventions.
 - Partnerships established with stakeholders including civil society, private sector, GOS and other development partners.
 - Evaluations and assessments over the year and how recommendations are being used to improve project performance.
 - Efforts, challenges and successes, in addressing the sustainability and scalability of core interventions.
- **Quarterly Reporting:** The Recipient must submit quarterly reports to include the Performance Indicator Tracking Table (PITT) within 30 days following the end of the quarter; i.e., January 30, April 30, July 30, and October 30. The Recipient will also present quarterly results at USAID-hosted sharing events.
- **Annual Reporting:** The Recipient must submit annual reports by October 30. Annual reports must include a narrative report, a summary table of results, and a minimum of two success stories. The annual report and the fourth quarterly report can be combined into one report.
- **Close-out Plan:** One hundred and eighty (180) days prior to the end of the Agreement, the Recipient shall submit a closeout plan to the AOR and the Acquisition and Assistance Office. The closeout plan shall include: brief program summary; brief program timeline; financial status report; final Financial Status Report timeline; latest NICRA or indirect cost rates; anticipated balance of federal funds after expiration of the instrument; final inventory of residual non-expendable property, which was acquired or furnished under the instrument; program and activity end date; recipient responsibilities during phase out; Subawardees and/or partnership phase out; status of all program audit reports per the instrument's provisions; final audit report timeline; final report timeline; personnel phase-out timeline; personnel phase-out plan; and job descriptions for personnel anticipated to serve during the closeout phase.
- **Final Report:** The Recipient must submit a final report no later than 90 days following the end of implementation of interventions or 45 days before the award end date, whichever comes first. The Final Report must include a narrative report and a summary table of results. In accordance with 2 CFR 200.328, the report must contain a comparison of actual accomplishments to the objectives established for the performance period; reasons why established goals were not met; and additional pertinent information. The results table must include annual targets, annual results, and cumulative results. The final report and the last annual report can be combined into one report as long as all requirements of both reports are met. A French-language version should also be submitted at the same time.

Table 1: Summary of Required Reports

Report	Period Covered	Due Date
Annual Work Plan	Upcoming fiscal year	September 1 st (30 days before new fiscal year) – For year one, the annual work plan will cover the first 15 months and be submitted within 45 days of award.
Climate Risk Mitigation deliverables	Upcoming fiscal year	September 1 st
Communication Updates	Life of Activity	Bi-weekly
Exit Strategy	Life of Activity	Within 45 days of award
Activity Monitoring, Evaluation, & Learning Plan (AMELP)	Life of Activity	Within 90 days of award (Annual updates: November 5)
First Quarter Report	October 1 st to December 31	January 30
Second Quarter Report	January 1 st to March 30	April 30
Third Quarter Report	April 1 st to June 30	July 30
Annual/Fourth Quarter Report	October 1 st to September 30 (including July-September quarter)	October 30
Close-out Plan	End of Activity	180 days prior to end of project
Final Performance Report	Life of Project	Draft due 60 days prior to the award end date. Final due 90 days after award completion.

Development Experience Clearinghouse Requirements

The Recipient shall be required to submit any technical reports produced under this program, in English, to USAID's Development Experience Clearinghouse (DEC) according to the instructions found at <https://dec.usaid.gov/dec/content/submit.aspx>

The following grant reports are development experience materials:

- Performance reports (quarterly, semi-annual, or annual).
- Annual, semi-annual, or quarterly reports describing the progress and accomplishments of the USAID-funded activity or project.
- Final performance reports submitted 90 days after the expiration or termination of the grant.

The following grant reports are not development experience materials:

- Annual reports issued after the fiscal year end that report on the financial status of the organization administering the grant.
- Financial reports. 2 CFR 200.327 through 329 "Performance and Financial Monitoring and Reporting," explains the procedures for monitoring and reporting a grantee's program and financial performance.

The following are NOT considered to be development experience material and should not be submitted to the DEC either by contractors or grantees under the terms of their awards, or by CORs/AORs or operating units:

- Financial reports such as SF-425 and SF-425a Federal Financial Report, and SF-270, Request for Advance or Reimbursement;
- Marketing and promotional materials, such as posters, flyers, and "give-away" products; and
- Non-technical newsletters.

Material must meet the following basic standards for entry into the DEC:

- a. Material must be final and approved by the COR or another qualified reviewer.
- b. Material must be complete, legible, and free of typographical mistakes, notes, or other extraneous markings, including automated change tracking and embedded comments.
- c. Material should be in electronic format. If an electronic version does not exist, a hard copy is acceptable.
- d. Material must not include financially sensitive information or personally identifiable information (PII) such as social security numbers, home addresses and dates of birth. Such information must be removed prior to submission.
- e. Each electronic document must be saved as a single file that is equivalent to the complete and final hard copy.
- f. Electronic material may be submitted online via the DEC (preferred), CD-ROM, and DVDs. Section 540.3.2.10 provides Internet and mailing addresses for submissions. Digital Geographic records, Data files and databases must be contributed to the Development Data Library (DDL), as outlined in ADS 579.
- g. Materials must conform to current USAID branding requirements. Please refer to the standards in ADS 320, Branding and Marking for marking requirements that grantees must

use on USAID-funded reports and advertising for USAID sponsored seminars, workshops, etc. (see Branding Guidelines). Contractors must comply with the marking clause in their contracts and the COR's specific instructions on the Agency's branding policy.

- h. Materials must be compliant with Section 508 of the Rehabilitation Act of 1973. ADS 302.3.4.15, Implementation of Section 508 of the Rehabilitation Act of 1973, provides the requisite guidance.
- i. Electronic documents must be in one of the following National Archives and Records Administration (NARA) approved formats as described in NARA guidelines related to the transfer of permanent E-records. Material Type Preferred Formats Acceptable Formats
Text records Portable Document Format (PDF) Plain ASCII, Microsoft Word Scanned images of text records Tagged Image File Format (TIFF) Digital photographic records JPEG Tagged Image File Format (TIFF) Web records Hypertext Markup Language (HTML) Other formats, such as TIFF or PDF that either are embedded in the HTML or referenced by it. Audio and Video Files MPEG Contact the Knowledge Services Center by phone (202-712-0579) or email (ksc@usaid.gov) for assistance in submitting a type of material that is not on this list.

Development experience materials may be submitted:

- Online: DEC Submissions
- By mail (for pouch delivery): USAID Development Experience Clearinghouse M/CIO/ITSD/KM/DEC RRB M.01-010 Washington, DC 20523-6100

*Note: Mail sent to USAID via the US Postal Service undergoes security and irradiation processing. To send sensitive items, like CDs or DVDs, please contact the DEC team at ksc@usaid.gov to arrange delivery. For questions on DEC submissions, contact: M/CIO/ITSD/KM/DEC Telephone: +1 202-712-0579 Email: ksc@usaid.gov.

4. Program Income

This NOFO does not anticipate any program income.

5. Environmental Compliance

The purpose is to strengthen transparent, accountable and equitable management of oil, gas, and mineral resources through more citizen engagement, demand for good governance, and improved extractive revenues collection and distribution. This activity is anticipated to enhance Senegal's self-reliance while improving and promoting transparency in the extractive resource sector in line with the "Extractive Industries Transparency Initiative" (EITI) standards and practices.

This IEE is a critical element of a mandatory environmental review and compliance process meant to achieve environmentally sound activity design and implementation.

Since this activity received a negative determination with conditions, the following apply;

- 1a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental

sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

1b) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1c) No activity funded under this RFA will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

2. Negative Determinations with Conditions

An Initial Environmental Examination (IEE) has been approved for the TRACES activity under this NOFO and will be shared with the Applicant. The IEE covers activities expected to be implemented under this NOFO. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Applicant shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this NOFO.

4a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the Applicant, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this NOFO to determine if they are within the scope of the approved Regulation 216 environmental documentation.

4b) If the Applicant plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

4c) Any ongoing activities found to be outside the scope of the approved Regulation 216

environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

5a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the applicant shall prepare an EMMP or M&M Plan describing how the applicant will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

5b) Integrate a completed EMMP or M&M Plan into the initial work plan.

5c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

6. Climate Risk Management

USAID/Senegal completed a climate risk screening to evaluate the potential climate risks facing the tasks described in this program description, using tools found in ADS 201 and on the ClimateLinks website. After the screening, USAID/Senegal also considered the integration of climate risk management (CRM) into solicitation as per ADS 303.1 and ADS 303.2.

The climate risk screening of the “Transparency and Accountability in Extractive Sector” (TRACES) activity qualified climate risks to the activity as low. Activities to be implemented to improve extractive revenues management, budget management of extractive revenues, and enhance regulatory and institutional oversight mechanisms should not be significantly affected by climatic effects at the risk of compromising their implementation or their impact on the beneficiaries.

Civil society and media strengthened engagement through activities in the field may be affected by extreme rain damages such as impassable tracks, reducing their mobility during the rainy season and preventing them from timely managed activities.

When addressing “increased local actors/ communities’ engagement and access to their rights” climate risks to be considered are:

- Beneficiaries, especially local leaders, and communities may experience climate related shocks or stressors (flooding, sandstorm, drought, heat waves, etc.) which could limit their living conditions and ability to participate in meetings/ awareness campaigns.
- Climate manifestations, including flood, drought, reduced rainfall, and increases in temperature, can compromise local government functions and the delivery of public services in the short to medium term. This may be an impediment to processes underway.

- The policy and decisional process regarding distributional outcomes of economic funds generated will not be affected by climate effects.

The activity may consider addressing the identified risks in the following manners:

- Training, community forums and other community-based activities could include climate risks (weather) risks and their impact on communities livelihoods
- Leverage technology and hold meetings virtually when in-person is not an option. Provide data credit for phones or hot-spot Wi-Fi devices for stakeholders in areas with poor connectivity.
- If roads are damaged, leverage technology and hold meetings virtually when in-person is not an option. Provide data credit for phones or hot-spot Wi-Fi devices for stakeholders in areas with poor connectivity.
- During the rainy season, agree with community and local leaders the most appropriate time for organizing events and activities.

A few opportunities to strengthen climate resilience under TRACES include:

1. Consideration for climate risk management training or preventive actions within the broader activity training program of communities (community forums, other community-based activities including climate risks and their impacts on communities). Training in access to and use of free Weather and Climate Information Services (WCIS) is always an asset . Communities would likely benefit from these as climate variability is high in the areas where extractive resources are exploited.
2. Transparency includes sharing with the community the findings of environmental, climatic and social impact studies (which may include land degradation, decreased agricultural productivity, health outcomes, etc.) and mitigation measures, particularly in the mining areas.
3. It is to be noted that the policy and decisional process regarding distributional outcomes of economic funds may favor those most vulnerable and those affected by climate variability and extreme weather events in particular. This activity component could consider integrating ways to build their resilience.

[END OF SECTION F]

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

1. NOFO Points of Contact

[Jaime Dominguez](#)
Regional Agreement Officer
drp21solicitations@usaid.gov
USAID/Senegal

2. Acquisition and Assistance Ombudsman

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID's acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information: <https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman>

[The A&A Ombudsman may be contacted via: Ombudsman@usaid.gov](mailto:Ombudsman@usaid.gov)

[END OF SECTION G]

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SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

Applications with Proprietary Data

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

“This application includes data that must not be disclosed, duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}.”

Additionally, the applicant must mark each sheet of data it wishes to restrict with the following:

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

[END OF SECTION H]

SECTION I- ANNEXES

Annex 1- Past performance Information (see attached)

Annex 2- Standard provisions

Annex 3-ABBREVIATIONS AND ACRONYMS

Annex 4-Budget template

Annex 5 -Tables of converted Local Compensation Plan (see attached)

Annex 6 - G50 Harmonization des Coûts Locaux (see attached)

Annex 7 – Senegal -DRGP PAD Initial Environmental Examination (see attached)

Annex 8-Certifications, Assurances, Representations, and Other Statements of the Recipient (see attached)

ANNEX 1 - ATTACHMENT 1

PAST PERFORMANCE INFORMATION (PPI)

This appendix is included in order to evaluate PPI as part of the Pre-Award Risk Assessment and is to be completed by the Applicant.

1	Award Number: .
2	Contractor/Recipient (Name and Address): .
3	Type of Award: .
4	Complexity of Work: Difficult___Routine _____ .
5	Description, location, and relevancy of work: .
6	Dollar Value of Work : _____Status: Active___Completed ____ .
7	Date of Award: _____ Award Completion Date (including extensions): .
8	Type and Extent of Subawards: .
9	Name, Address, Telephone Number, and E-mail Address of the Awarding Contracting/Agreement Officer and/or the Contracting/Agreement Officer 's Representative (and other references as applicable): .

ANNEX 2 - STANDARD PROVISIONS

(Note: the full text of these provisions may be found at: <https://www.usaid.gov/ads/policy/300/303maa> and <https://www.usaid.gov/ads/policy/300/303mab>). The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations. The award will also contain the following “required as applicable” Standard Provisions:

Please note that the resulting award will include all standard provisions (both mandatory and required as applicable) in full text.

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

Require d	Not Required	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (NOVEMBER 2020)
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (NOVEMBER 2020)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
		RAA4. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)
		RAA5. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
	X	RAA6. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA7. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
	X	RAA8. CARE OF LABORATORY ANIMALS (MARCH 2004)
X		RAA9. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
	X	RAA10. COST SHARING (MATCHING) (FEBRUARY 2012)
X		RAA11. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
X		RAA12. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA13. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
TBD		RAA14. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
	X	RAA15. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA16. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
X		RAA17. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
TBD		RAA18. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
	X	RAA19. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)

	TBD	RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	x	RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	x	RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
x		RAA23. UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT (NOVEMBER 2020)
x		RAA24. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (NOVEMBER 2020)
x		RAA25. PATENT REPORTING PROCEDURES (NOVEMBER 2020)
	x	RAA26. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
x		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
x		RAA28. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
		RAA29. RESERVED
	x	RAA30. PROGRAM INCOME (AUGUST 2020)
x		RAA31. NEVER CONTRACT WITH THE ENEMY (NOVEMBER 2020)

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS

Require d	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (NOVEMBER 2020)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (NOVEMBER 2020)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
		RAA5. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)
x		RAA6. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (NOVEMBER 2020)
x		RAA7. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (NOVEMBER 2020)
x		RAA8. SUBAWARDS (DECEMBER 2014)
x		RAA9. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
x		RAA10. OCEAN SHIPMENT OF GOODS (JUNE 2012)
x		RAA11. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
x		RAA12. PATENT RIGHTS (JUNE 2012)
x		RAA13. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
x		RAA14. INVESTMENT PROMOTION (NOVEMBER 2003)
	x	RAA 15. COST SHARE (JUNE 2012)
	x	RAA16. PROGRAM INCOME (AUGUST 2020)

x		RAA17. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
x		RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	TBD	RAA19. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
	x	RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	x	RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	x	RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
	x	RAA23. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	x	RAA24. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	x	RAA25. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	x	RAA26. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
x		RAA27. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
x		RAA28. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
x		RAA29. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
		RAA30. RESERVED
x		RAA31. NEVER CONTRACT WITH THE ENEMY (NOVEMBER 2020)

ANNEX 3 - ABBREVIATIONS AND ACRONYMS

ACRONYMS

CDMS	Chambers of Mines of Senegal
CN-ITIE	EITI National Executive Committee in Senegal
COS PETROGAZ	Comité d’Orientation Stratégique du Pétrole et du Gaz
CSO	Civil Society Organization
CSR	Corporate Social Responsibility
CDCS	Country Development and Cooperation Strategy
DRGP	Democracy, Human Rights, Governance and Peace
ECOWAS	Economic Community of West African States
EGO	Economic Growth Office
EITI	Extractive Industries Transparency Initiative
GoS	Government of Senegal
GoLD	Governance for Local Development
MEL	Monitoring, Evaluation and Learning
NGO	Non-Governmental Organization
PETROSEN	Société des Pétroles de Sénégal
PTF	Technical and Financial Partners
PWYP	Publish What You Pay
SME	Small and Medium Enterprise
USAID	United States Agency for International Development
WAEMU	West African Economic and Monetary Union
GDP	Gross Domestic Product
NR	Natural Resources
NPI	New Partnership Initiative
WB	World Bank
ADB	African Development Bank
FtF	Feed the Future
PFM	Public Financial Management

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[END OF NOTICE OF FUNDING OPPORTUNITY]